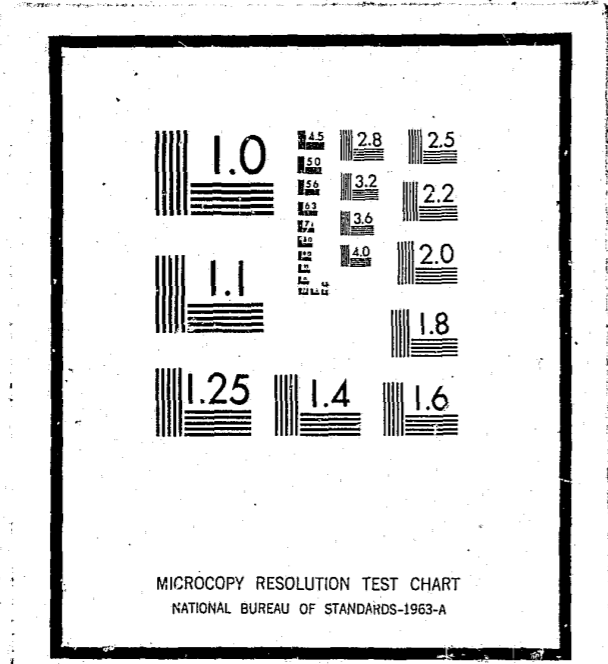


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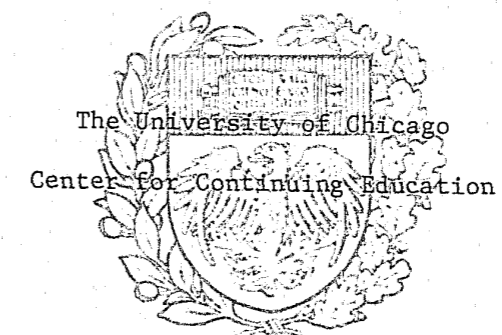
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INSTITUTE FOR CRIMINAL JUSTICE EXECUTIVES

FINAL REPORT

Philip M. Nowlen
Project Coordinator

AUGUST 1973



Law Enforcement Assistance Administration Discretionary Grant: 72-ED-99-008

Illinois Law Enforcement Commission Grant: 3-0620

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The Institute for Criminal Justice Executives will be examined primarily as a temporary system in and of itself: the planning, assumptions, processes and effects internal to the program.

The very phrase "temporary system," however, implies two other systems: the one that created the temporary system and the one upon which the temporary system is intended to have an impact. The project will be examined, therefore, as it interacted with these two systems. Following are summaries of the conclusions and recommendations of this report as they relate to the temporary system itself, its parent system and the system upon which it was intended to have an impact.¹

The Temporary System

1. The program was affected by absence of (a) optimal lead time and (b) appropriate administrative arrangements to compensate for the absence of optimal lead time.
2. The data base for program planning was inadequate in terms of participant academic and experiential backgrounds, expectations, attitudes, institutional locations, administrative responsibilities, and level of sophistication in management. This resulted in (a) untapped resources and (b) impaired effectiveness of the planning.

¹This approach to examining the Institute for Criminal Justice Executives was chosen to satisfy the needs of a variety of readers: the Department of Justice's National Institute of Corrections and the Law Enforcement Assistance Administration, the Illinois Law Enforcement Commission, project directors of similar NIC-sponsored programs and the criminal justice executives who participated in the Chicago Institute.

3. The selection of participants to attend was not altogether appropriate, as indicated by (a) the lack of representation of judges and (b) the inclusion of different levels of management in a program designated for "executives."
4. For optimal integration of the three educational components of the program--criminal justice, management, and evaluation--to be realized required the blending of disparate conceptions of both subject matter content and educational process within a restricted time frame.
5. The lack of specific educational objectives stated in behavioral terms prevented the structure necessary for (a) developing the program, (b) guiding the faculty, (c) integrating the three components, (d) developing evaluative instruments and (e) continuous modification of the program.
6. At the outset, the involvement of the learners in the educational process was more nearly like that which occurs in conventional secondary education than in adult education. As better adult educational practices were employed, the participants felt that their experiences markedly improved.
7. The Participant Steering Committee played a major role, to which the faculty did not respond optimally, in moving group participation in the program from a less educationally desirable authoritarian model to a more educationally desirable interactive one.

8. Overprogramming the time schedule during Phase I led to the crowding of events, inability to discuss many important ideas sufficiently, and general feelings of being rushed, not having enough time to think, and fatigue.
9. Structural supports for important features of the program, such as (a) the means to be employed to identify potential leaders for the criminal justice field from among the participants and (b) the means for making the extra-institutional arrangements adequately educational, should have been more specifically defined.
10. The Phase II work projects undertaken did not constitute necessarily new ideas, but the program provided the necessary stimulation for accomplishing them.
11. In general, the participants liked the facilities and services of the Center for Continuing Education at the University of Chicago and the "cultural island" format.
12. The level of management skill practiced by many of the participants was raised as a result of attendance at the Institute, as indicated by (a) data from interviews with the participants, (b) judgment of their work projects and (c) the evaluation of the systems impacts of the program.
13. Visibility of the National Institute of Corrections was achieved through such factors as the number of states represented among the participants and the number and diverse backgrounds of the faculty and guests.

14. The program as executed could not be regarded as the ideal model for subsequent workshops because it was carried out with the explicit intention of being sensitive and alert to problems as they arose so that a subsequent workshop could be planned, executed and evaluated to serve as a model.

The Parent System

1. For the National Institute of Corrections to operate more effectively as an ongoing system, selecting and employing temporary educational systems, an educational plan should be developed so that temporary educational systems selected fit into a coherent strategy. Essential steps in the development or administration of such a plan follow:
 - a. Articulation of assumptions regarding educational needs
 - b. Testing the assumptions against data gathered regarding actual performance
 - c. Comparison of actual performance data with established or desired standards of performance
 - d. Description of gaps between actual and desired performance
 - e. Judgment that particular gaps can or cannot be closed through educational programs
 - (1) Decision to undertake educational programs where promising

- (2) Decision to undertake problem solving oriented workshops or conferences where personnel education does not seem promising
 - f. Issuance of requests for proposals soliciting programs precisely aimed at closing or eliminating gaps between desired and actual performance
 - g. Development of criteria for selection of program participants
 - h. Communicating to program directors the ways in which their programs fit into the overarching educational plan
 - i. Linkage of information gathering process desired in each temporary educational system selected to the surfacing of as yet unidentified educational needs as well as to the National Institute of Corrections' other functions: the development of an information clearing house, the identification of promising leadership, etc.
2. In order to avoid misunderstandings, the National Institute of Corrections should carefully describe the relationship between its staff and the directors of individual programs desired during the grant period. This description should be made available as information supplementary to the request for proposals.
 3. The relationship of state planning agencies to the conduct of National Institute of Corrections sponsored programs should be defined and communicated to both the state planning agencies and to potential program directors.

The System Affected

1. The program has proven favorable on external criteria regarding its ability to effect somewhat permanent changes in the job related behavior of its participants.
 - a. Participants' subordinates noted the greatest change in the area of "communications," with "leadership" and "program development" skills ranking second and third.
 - b. The participants noted high positive change in their own behavior with "research and evaluation" the primary change area. "Participatory leadership" and "program development" skills were ranked second and third.
2. The program succeeded in effecting some changes within the correctional systems that were involved. Consistent moderate changes in the organizational functioning of participant systems in the directions intended by the program were reported.
 - a. Subordinates noted moderate improvement in leadership, motivational forces and goal setting performance.
 - b. Participants reported considerable improvement in goal setting performance, and moderate change in communications, control processes, decision making processes, motivational forces and training and performance goals.
3. Some differential impact was observed.
 - a. Comparing participants involved in institutional, parole or community related functions, those in institutional

- settings benefited more than others. Those in community functions appeared relatively unaffected on many of the dimensions measured.
- b. An analysis based on state, city or county affiliation revealed high behavior change in city based participants while county based participants reported significant change in only one dimension.
 - c. No differential impact was observed between participants from organizations dealing with adults and those dealing with juveniles.
4. A participant's degree of seriousness concerning the work projects was a sensitive indicator of his or her reaction to the program in general. (Sixty-five percent of the participants submitted written work project reports.)
 5. The success of work projects undertaken reflects the quality of learning and the supportiveness of the participants' superiors. (Fifty-four percent reflect concrete achievement, thirty percent some achievement and sixteen percent little achievement.)
 6. The work projects were responsible for producing a significant organizational change within the systems of approximately half the participants.
 7. Unanticipated consequences of participation in the program include increased participant self confidence and aggressiveness.
 8. Participants, in retrospect, have discovered much of value in the program which had been overlooked in their initial reaction to it.

9. The previous training of program applicants and the nature of their additional needs in the same content or skill areas should be determined in advance of future programs.
10. Special attention should be directed toward assisting participants from adult serving systems to be conscious of possible behavior changes and their organizational consequences.
11. Executives from community related activities (as opposed to institutional or parole activities) should be excluded from future programs or the curriculum of future programs should be modified so as to be more meaningful for such participants.
12. Future programs should screen out county affiliated persons from participation or modify the curriculum so as to make it more relevant for them.
13. Future programs should eliminate from participation applicants who possess few managerial responsibilities or who occupy positions of responsibility significantly lower than the majority of persons selected.
14. The undertaking of a program related work project should be retained in future programs.
15. Even greater effort should be made during future programs to gain the support of participants' superiors for the work projects selected.

16. Future programs should place even more emphasis on the participants' ability to serve as organizational change agents.

Although for the purposes of this report, the temporary educational system, its parent system and the system to be affected are treated as discreet entities, they are in reality interdependent and overlapping entities. NIC funded the Chicago Institute, for example, not only to begin the work of affecting the criminal justice system, but also to assist NIC to define itself. Two parent system staff members were quasi-participants during the temporary system's Phase I and one parent system staff member attended Phase III. There is a sense in which participants in the temporary system "brought" pieces of the system to be affected with them. Some chose work projects that they had had in mind for some time but viewed the temporary system as providing the necessary leverage to implement them at home.

Other examples might be cited. The point is simply to caution the reader that the discreet divisions of this report are a convenient format rather than a clean compartmentalization of reality.

This report is not in chronological order. The following chronological sketch, beginning in February, 1972 and ending in June, 1973, will provide a useful framework for the data, analysis and findings described below.

February 25: LEAA broaches the possibility of an institute for criminal justice executives with the University of Chicago

April 5-6: National Institute of Corrections staff and advisory committee meet with University representatives in Chicago; project begins to take definite shape

April 21: LEAA confirms site selection to University

May 16: Proposal submitted to Illinois Law Enforcement Commission (the state planning agency)

May 25: ILFC approves proposal and formally submits it to LEAA

June 19: LEAA verbally approves proposed budget

July 5: NIC furnishes University with the list of participants

July 9-29: Phase I is conducted at the Center for Continuing Education, The University of Chicago. The following pages describe this period in detail.

| DATE | SCHEDULED TIME | SCHEDULED EVENT | ACTUAL TIME | ACTUAL EVENT | COMMENTS |
|-------------------|----------------|---|------------------------------|--|--|
| Sunday July 9 | 7:00-7:30 PM | Registration | 6:45-7:30 PM | Registration | |
| | 7:30-9:00 PM | "Creature Comfort" Orientation P. Nowlen M. Hardin K. Dickhaut | 7:45-9:15 PM | "Creature Comfort" Orientation P. Nowlen M. Hardin K. Dickhaut | 1. Introduction to Center, University, City 2. Field trip explanation and sign up |
| Monday July 10 | 8:30-10:00 AM | Introduction to the Program N. Morris H. Sulkin E. Marcus P. Nowlen | 8:30-10:30 AM | Introduction to the Program N. Morris, CJC° H. Sulkin, MC° J. Furcon, MC° E. Marcus, EC° B. Block, EC° P. Nowlen, CCE° | Panel Discussion |
| | 10:30 AM-Noon | Introduction of Participants E. McGehee, Moderator | 10:30 AM-Noon | Introduction of Participants E. McGehee, Moderator | Each participant introduced himself |
| | 1:00-4:00 PM | Individual Motivation Theory X and Theory Y J. Furcon F. Pearson M. Veronee | 1:00-2:30 PM 3:00-4:50 PM | Introduction of Participants E. McGehee, Moderator Individual Motivation Theory X and Theory Y J. Furcon F. Pearson M. Veronee | Whole Group ==> Small Groups ==> Whole Group |
| | 5:00-5:30 PM | Evaluation Administration | 5:00-5:30 PM | Evaluation Administration | |

°CJC = Criminal Justice Component; MC = Management Component; EC = Evaluation Component; CCE = Center for Continuing Education

| DATE | SCHEDULED TIME | SCHEDULED EVENT | ACTUAL TIME | ACTUAL EVENT | COMMENTS |
|----------------------|-----------------|--|-----------------|---|---|
| Tuesday July 11 | 8:30-10:30 AM | History and Theory of Corrections H. Mattick | 8:30-10:30 AM | History and Theory of Corrections H. Mattick | Lecture |
| | 10:30AM-12:30PM | Leadership IRC Staff | 10:45AM-12:30PM | Leadership H. Sulkin F. Pearson | Whole Group ==> Buzz Groups ==> Whole Group |
| | 1:30-3:30PM | History and Theory of Corrections H. Mattick | 1:30-3:30 PM | History and Theory of Corrections H. Mattick | Lecture |
| | 3:30-4:00 PM | Evaluation Administration | 3:30-4:00 PM | Evaluation Administration | |
| | 4:00-4:45 PM | Campus Tour | 4:15-5:00 PM | Campus Tour | Guided walk around campus |
| Wednesday July 12 | 8:30 AM-Noon | Leadership E McGehee F. Pearson | 8:30 AM-12:15PM | Leadership E. McGehee | Whole Group-->2 Small Groups-->8 Small Groups -->Whole Group |
| | 1:00-2:00 PM | Participant Steering Committee Election E. Marcus H. Sulkin | 1:00-2:00 PM | Participant Steering Committee Election E. Marcus | Elected: P. Baer, Rufus Anderson, B. Gruensfelder, R. Little, W. Tanksley; Alternates: B. Bright, J. Platt, V. Picciano |
| | 2:00-5:00 PM | Roles Job Clarification IRC Staff | 2:30-4:30 PM | Roles Job Clarification IRC Staff | Two Small Groups ----> Whole Group |
| | 5:00-5:50 PM | Evaluation Administration | 4:30-5:00 PM | Evaluation Administraton | |

12

| DATE | SCHEDULED TIME | SCHEDULED EVENT | ACTUAL TIME | ACTUAL EVENT | COMMENTS |
|--------------------------------|-----------------|--|---------------|---|--------------------------------|
| Wednesday July 12 cont'd | | | 5:00-6:30 PM | Participant Steering Committee (PSC) Meeting W. Griffith | With faculty and staff |
| | 6:00-7:30 PM | 1/4 of Participants eat with William J. Bauer | 6:00-7:30 PM | 1/4 of Participants eat with William J. Bauer | |
| | 7:30-9:00 PM | Sentencing William J. Bauer | 7:30-9:00 PM | Sentencing William J. Bauer | Lecture/Question and Answer |
| Thursday July 13 | 8:30-10:30 AM | Measurement in the Crim- inal Justice System F. Zimring | 8:30-10:30 AM | Measurement and Its Use in the Evaluation of the Criminal Justice System F. Zimring | Lecture |
| | 10:30AM-12:30PM | Role of Education in Re- sponding to Performance Problems W. Griffith | 10:50 AM-Noon | Role of Education in Responding to Performance Problems W. Griffith | Lecture |
| | 1:30-3:30PM | Measurement in the Crim- inal Justice System | 1:30-3:30 PM | Measurement and Its Use in the Evaluation of the Criminal Justice System F. Zimring | Lecture |
| | 3:30-5:00 PM | Roles in Organization Improvement J. Furcon | 3:30-4:30 PM | Closed (no faculty or staff) Meeting of Participants with the Participant Steering Com- mittee (PSC) | |
| | | | 5:00-6:50 PM | PSC Meeting | With faculty and staff |

13

| DATE | SCHEDULED TIME | SCHEDULED EVENT | ACTUAL TIME | ACTUAL EVENT | COMMENTS |
|-------------------|----------------|--|---------------|--|---|
| Friday July 14 | 8:30-10:30 AM | The Criminal Justice System N. Morris | 8:30-9:15 AM | Discussion of Management Portion of Program H. Sulkin Discussion of Evaluation Portion of Program E. Marcus | Response to Steering Committee Inquiries |
| | | | 9:15-11:15 AM | The Criminal Justice System N. Morris | Lecture |
| | 11:00-12:30 PM | Tour of Bush Library S. Harper | 11:45 AM | Begin Field Trips to: Vienna Valley View Cook County Jail or Free Weekend | |

14

| DATE | SCHEDULED TIME | SCHEDULED EVENT | ACTUAL TIME | ACTUAL EVENT | COMMENTS |
|--------------------|----------------|---|----------------|--|--|
| Monday July 17 | 8:30-9:30 AM | Discussion of Field Trips H. Sulkin N. Morris | 8:30-8:50 AM | Evaluation E. Marcus | Moved to AM at re- quest of PSC |
| | | | 8:50-9:45 AM | Discussion of Field Trips N. Morris | Participant Re- actions |
| | 9:30AM-12:30PM | Definition of Problem Solving Decision Making E. McGehee | 9:50AM-12:30PM | Roles J. Furcon Problem Solving/Decision Making E. McGehee | Lecture |
| | 1:30-3:30 PM | The Criminal Justice System N. Morris | 1:30-3:30 PM | The Criminal Justice System N. Morris | Lecture |
| | 5:30-7:00 PM | Cocktail Party | 5:30-7:00 PM | Cocktail Party | Sponsored by Center for Studies in Criminal Justice |
| | | | | 8:30-9:30 PM | PSC Meeting |
| Tuesday July 18 | 8:30-10:30 AM | Jail and Bail H. Mattick N. Morris | 8:30-10:30 AM | Jail and Bail H. Mattick | Lecture |

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| DATE | SCHEDULED TIME | SCHEDULED EVENT | ACTUAL TIME | ACTUAL EVENT | COMMENTS |
|------------------------------|----------------|--|---------------|--|-----------------------------|
| Tuesday July 18 cont'd | 10:30AM-3:00PM | Composite Group Profile Evaluation of Problem Solving Task E. McGehee M. Veronee | 10:30 AM-Neon | Richard Velde, LEAA Representative | Informal Presentation |
| | | | 1:00-1:30 PM | Evaluation | |
| | | | 1:30-3:15 PM | Problem Solving/Decision Making F. Pearson | Lecture |
| | 5:00-5:00 PM | Jail and Bail H. Mattick N. Morris | 3:15-5:00 PM | Jail and Bail H. Mattick | Lecture |
| | | | 5:00-6:00 PM | PSC Meeting | With faculty and staff |
| | 6:00-7:30 PM | 1/4 of Participants eat with O.J. Keller | | | Mr. Keller unable to attend |
| | 7:30-9:00 PM | Discussion with O.J Keller | | | |
| Wednesday July 19 | 8:30-10:00 AM | Individual Projects E. McGehee | 8:30-9:20 AM | PSC Meeting | With P. Nowlen |
| | | | 9:30-10:00 AM | Meeting of Participants and Faculty to announce schedule revisions | |

16

| DATE | SCHEDULED TIME | SCHEDULED EVENT | ACTUAL TIME | ACTUAL EVENT | COMMENTS |
|--------------------------------|----------------|--|----------------------------|--|---|
| Wednesday July 19 cont'd | 10:00 AM-Noon | Task Force Report on Problem Statement E. McGehee | 10:00-11:00 AM | Faculty and Staff Meeting | To Plan new schedule |
| | | | 10:00-11:00 AM | Participants Meeting | To discuss plans and desires for remainder of P program |
| | | | 11:00 AM-Noon | Participants and Faculty Meeting to consider program changes | B. Bright, J. Platt V. Picciano (alternates to PSC) designated as Curriculum Advisory Committee (hereafter called PSC Subcommittee) |
| | | | Noon-1:00 PM | PSC Meeting with PSC Subcommittee | |
| | 1:00-2:00 PM | Task Force Report on Problem Statement E. McGehee | 1:20-1:30 PM | PSC Subcommittee meeting with P. Nowlen | To discuss changes in afternoon program |
| | | | 1:30-2:00 PM | PSC Subcommittee and P. Nowlen Meeting with R. Levy | To modify afternoon program |
| | 2:00-5:00 PM | A Correctional Information System R. Levy and Staff | 2:00-3:30 PM | A Correctional Information System R. Levy and Staff | Lecture |
| | | | 3:40-4:30 PM | Small Groups on Levy Presentation | Four small groups |
| 4:30-5:30 PM | | | Feedback from Small Groups | Each group reported on its discussion with Levy responding | |

17

| DATE | SCHEDULED TIME | SCHEDULED EVENT | ACTUAL TIME | ACTUAL EVENT | COMMENTS |
|----------------------|-----------------|---|---|---|------------------------|
| Wednesday July 19 | | | 5:30-6:30 PM | PSC, PSC Subcommittee meeting | With faculty and staff |
| | cont'd | | 6:30-7:15 PM | PSC Subcommittee Meeting | With faculty and staff |
| Thursday July 20 | 8:30-10:30 AM | Correctional Law R. Singer | 8:30-9:45 AM | Correctional Law R. Singer | Lecture |
| | | | 9:45-10:30 AM | Small Group Discussions of Singer Questions | |
| | 10:30AM-12:30PM | Heuristics/Decision Criteria--McGehee | 10:30 AM-Noon | Small Group Feedback to Singer and Whole Group | |
| | 1:30-3:00 PM | Person-to-Person Communication E. McGehee | 1:00-1:15 PM | Evaluation B. Block | |
| | | | 1:15-2:15 PM | Crisis Management E. McGehee | Lecture |
| | | | 2:15-3:00 PM | Small Group Discussions of McGehee Presentation | |
| | 3:00-5:00 PM | Correctional Law R. Singer | 3:00-4:30 PM | Correctional Law R. Singer | Lecture |
| 4:30-5:00 PM | | | Question and Answer Session with R. Singer | Participants preferred this to small group discussions | |

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| DATE | SCHEDULED TIME | SCHEDULED EVENT | ACTUAL TIME | ACTUAL EVENT | COMMENTS |
|---------------------|-----------------|--|---|---|------------------------------------|
| Thursday July 20 | | | 5:00-5:45 PM | PSC, PSC Subcommittee Meeting | With faculty and staff |
| | cont'd | | 5:45-6:05 PM | PSC Subcommittee Meeting | With faculty and staff |
| | 6:00-7:30 PM | 1/4 of Participants eat with Ben Meeker | 6:00-7:30 PM | 1/4 of Participants eat with Ben Meeker | |
| | 7:30-9:00 PM | Probations B. Meeker | 7:30-9:00 PM | Pending Legislation B. Meeker | Lecture and Question and Answer |
| Friday July 21 | 8:30-10:30 AM | Correctional Law R. Singer | 8:30-9:30 AM | Correctional Law R. Singer | Lecture |
| | | | 9:30-10:30 AM | Small Group Discussions of Singer Presentation | |
| | 10:30AM-12:30PM | Decision Criteria/ Leadership J. Furcon H. Sulkin M. Veronee | 10:30-11:00 AM | Feedback from Small Groups | |
| | | | 11:00 AM | Most of Participants Began Field Trips or Free Weekend | |
| | | 11:15AM-12:15PM | PSC, PSC Subcommittee Meeting to plan following week | With faculty and staff | |

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| DATE | ORIGINAL SCHEDULE TIME | ORIGINAL SCHEDULE EVENT | REVISED SCHEDULE TIME | REVISED SCHEDULE EVENT | ACTUAL TIME | ACTUAL EVENT |
|-------------------|------------------------|--|-----------------------|---|----------------|--|
| Monday July 24 | 8:30-9:30 AM | Discussion of Field Trips H. Sulkin | 8:30-9:15 AM | The Evaluation Process W. Griffith | 8:30-9:30 AM | The Evaluation Process W. Griffith |
| | 9:30 AM-Noon | The Criminal Justice System N. Morris | 9:15-10:00 AM | Plea Bargaining N. Morris | 9:30-10:30 AM | Plea Bargaining N. Morris |
| | | | 10:00-11:00 AM | Small Group Discussions on Plea Bargaining | 10:30-11:00 AM | Small Group Discussions on Plea Bargaining |
| | | | 11:00 AM-Noon | Feedback from Small Group Discussions | 11:00 AM-Noon | Feedback from Small Group Discussions |
| | 1:00-2:00 PM | Management by Objectives E. McGehee M. Veronee | 1:15-2:00 PM | Styles of Management H. Sulkin | 1:20-2:05 PM | Styles of Management H. Sulkin |
| | 2:00-5:00 PM | Goals, Statements, Criteria IRC Team | 2:00-3:00 PM | Small Group Discussions on Styles of Management | 2:05-3:10 PM | Small Group Discussions on Styles of Management |
| | | | 3:00-3:45 PM | Feedback from Small Group Discussions | 3:10-3:40 PM | Feedback from Small Group Discussions |
| | | | | | 4:00-5:35 PM | PSC, PSC Subcommittee, Faculty and Staff Meeting |

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| DATE | ORIGINAL SCHEDULE TIME | ORIGINAL SCHEDULE EVENT | REVISED SCHEDULE TIME | REVISED SCHEDULE EVENT | ACTUAL TIME | ACTUAL EVENT |
|--------------------|---|---|---|---|---|---|
| Tuesday July 25 | 8:30-10:30 AM | Evaluation in the Criminal Justice System F. Zimring | 8:30-10:00 AM | Evaluation in the Criminal Justice System F. Zimring | 8:30-10:00 AM | Evaluation in the Criminal Justice System F. Zimring |
| | 10:30 AM-Noon | Hierarchy of Objectives F. Pearson | 10:15-11:15 AM | Small Group Discussions of Zimring Presentation | 10:15-11:25 AM | Small Group Discussions of Zimring Presentation |
| | | | 11:15 AM-12:15 PM | Feedback from Small Group Discussions | 11:25 AM-12:20 PM | Feedback from Small Group Discussions |
| | 1:30-3:30 PM | Evaluation in the Criminal Justice System F. Zimring | 1:30-3:15 PM | The Attitudes and "Rights" of Members of the Organization E. McGehee | 1:40-2:45 PM | The Attitudes and "Rights" of Members of the Organization E. McGehee |
| | 3:30-5:00 PM | Interest Groups in Objective Formulation E. McGehee | 3:30 PM | Individual Project Consultations | 3:30 PM | Individual Project Consultations |
| | | | | | 4:15-5:30 PM | PSC, PSC Subcommittee, Faculty and Staff Meeting |
| 7:00 PM | Small Group Discussions of the NIC Position Paper | 7:00 PM | Small Group Discussions of the NIC Position Paper | 7:00 PM | Small Group Discussions of the NIC Position Paper | |

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| DATE | ORIGINAL SCHEDULE TIME | ORIGINAL SCHEDULE EVENT | REVISED SCHEDULE TIME | REVISED SCHEDULE EVENT | ACTUAL TIME | ACTUAL EVENT |
|----------------------|--|---|--|--|--|--|
| Wednesday July 26 | NOTE: 24 Administrators joined the 41 Participants | | | | | |
| | 8:30-10:30 AM | Planning for Objectives F. Pearson IRC Team | 8:30-9:30 AM | Unionization in Corrections J. Getman | 8:30-8:45 AM | Introduction of Administrators |
| | | | | | 8:45-9:45 AM | Unionization in Corrections J. Getman |
| | | | 9:30-10:15 AM | Small Group Discussions of Getman Presentation | 10:00-10:45 AM | Small Group Discussions of Getman Presentation |
| | 10:30 AM-12:30 PM | Unionization in Corrections J. Getman | 10:30-11:30 AM | Feedback from Small Group Discussions | 10:45-11:40 AM | Feedback from Small Group Discussions |
| | | | 11:30 AM | Individual Project Consultations | 11:45 AM | Individual Project Consultations |
| | 1:30-3:30 PM | The Criminal Justice System N. Morris | 1:30-3:00 PM | Guilty Pleas/Diversion N. Morris | 1:30-3:00 PM | Guilty Pleas/Diversion N. Morris |
| | 4:00-5:30 PM | Small Group Discussions of the NIC Paper | 3:15 PM-- | Small Group Discussions of the NIC Paper | 3:15 PM-- | Small Group Discussions of the NIC Paper |
| | | | | 4:30-5:30 PM | PSC, PSC Subcommittee, Faculty and Staff Meeting | |
| 6:00-7:30 PM | 1/4 of Participants eat with Peter Bensinger | 6:00-7:45 PM | Reception and Dinner for P. Bensinger and Administrators | 6:00-7:45 PM | Reception and Dinner for P. Bensinger and Administrators [62 attended] | |
| 7:30-9:00 PM | Politics of Reform P. Bensinger | 7:45-9:00 PM | Politics of Reform P. Bensinger | 7:45-9:00 PM | Politics of Reform P. Bensinger | |

22

| DATE | ORIGINAL SCHEDULE TIME | ORIGINAL SCHEDULE EVENT | REVISED SCHEDULE TIME | REVISED SCHEDULE EVENT | ACTUAL TIME | ACTUAL EVENT |
|---------------------|------------------------|--|-----------------------|--|-----------------------------|--|
| Thursday July 27 | 8:30-10:30 AM | Planning and Programming IRC Team | 9:00-10:30 AM | The Future of the National Institute of Corrections P. Nowlen, Chairing | 9:00-Noon | The Future of the National Institute of Corrections P. Nowlen, Chairing |
| | 10:30 AM-12:30 PM | Organizational Change H. Sulkin F. Pearson | | | | |
| | 1:30-3:30 PM | Reactions to the NIC Paper | 1:30-3:15 PM | Management Overview | 1:00-2:30 PM | The Future of the National Institute of Corrections P. Nowlen, Chairing |
| | | | | | NOTE: Administrators Depart | |
| | | | | | 2:50-3:50 PM | Presentation of Individual Project Plans by Two Participants for Whole Group Comment |
| | 3:30-5:00 PM | Task Force Reports IRC Team | 3:30-4:00 PM | Evaluation B. Block | | |
| | | | | | 4:00-6:00 PM | PSC, PSC Subcommittee, Faculty, Staff, NIC Representatives Meeting |
| Friday July 28 | 8:30 AM-Noon | Learning and Its Applications | 8:30 AM-Noon | Rapping It Up | 8:30 AM-Noon | Plans for the 4th Week R. Little, Chairman |

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August 1: Phase II begins, i.e., participants begin carrying on work projects

Nov.-Jan.: Evaluation teams make random site visits

Dec. 12-13: Participant Steering Committee meets with project staff to plan Phase III

Considerable participant input had been recorded, summarized and placed in tentative categories in anticipation of the meeting. Phase III had been briefly discussed at the conclusion of Phase I. In addition, evaluation team members had discussed Phase III with approximately 25 percent of the participants during their site visits. Finally, a written questionnaire including items dealing with Phase III had been returned by 69 percent of the participants.

The committee and staff agreed upon principles for planning as follows:

1. Maximum involvement of participants as resource persons
2. Integration of project components
3. A varied format combining plenary sessions with small group workshops

4. Choice of alternatives among workshop sessions
5. Avoidance of overscheduling

With these in mind, topics and speakers, format, daily themes and the treatment of work projects were agreed upon in fairly rapid order.

Methodology was considerably altered from the pattern of Phase I. Instead of assigning separate blocks of instructional time for the treatment of management and criminal justice topics, instructional themes were chosen which contained content implications for both, e.g., "Democratization and Planning in the Criminal Justice System," and "Organizing for a Continuum of Treatment."

Both criminal justice and management resource persons were to participate in the discussions of such themes but it was made clear that the primary responsibility for integrating the two content areas would be the participants'. The project staff was asked to make this responsibility known to the participants.

March 12-16:

Phase III is conducted at the Center for Continuing Education. This period is described on the following pages in detail.

| DATE | SCHEDULED TIME | SCHEDULED EVENT | ACTUAL TIME | ACTUAL EVENT | COMMENTS |
|--------------------|-----------------|--|-------------|--------------|----------|
| Sunday March 11 | 7:30-9:30 PM | "No Host" Cocktail Party | | as scheduled | |
| Monday March 12 | 9:00-9:15 AM | Review and Preview P. Nowlen | | as scheduled | |
| | 9:15-10:00 AM | Planning in the Criminal Justice System N. Morris | | as scheduled | |
| | 10:15-11:00 AM | Response W. D. Messersmith | | as scheduled | |
| | 11:00AM-12:30PM | Workshops on the Democratiza- tion Process <u>Community Relations</u> KRP: R. Wohlgenuth MD: M. Veronee <u>Negotiation Processes</u> KRP: H. Scott MD: G. Fox <u>Prevention of Violence and Riots</u> KRP: P. Kalin MD: J. Furcon <u>Ethics</u> KRP: V. Picciano MD: F. Pearson | | as scheduled | |

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KRP = Key Resource Person; MD = Management Discussant

| DATE | SCHEDULED TIME | SCHEDULED EVENT | ACTUAL TIME | ACTUAL EVENT | COMMENTS |
|-------------------------------|----------------|---|--------------|---|--|
| Monday March 12 Cont'd. | 2:00-3:00 PM | The New Careers Program E. Lester | | as scheduled | |
| | 3:15-4:15 PM | Response J. Bannon | | as scheduled | |
| Tuesday March 13 | 9:00-10:15 AM | Organizing for a Continuum of Treatment <u>Systems Perspective</u> S. Brodsky | | as scheduled | |
| | 10:30AM-Noon | Workshops On How To Organize A Treatment Methodology <u>Behavior Modification</u> KRP: J. Platt MD: M. Veronee <u>Family Psychotherapy</u> KRP: V. Picciano MD: G. Fox <u>Guided Group Interaction</u> KRP: A. Axelrod MD: F. Pearson | | as scheduled | |
| | 1:30-3:00 PM | Morning Workshops <u>Repeated</u> | | as scheduled | |
| | 3:15-4:40 PM | Summary and Discussion S. Brodsky | | as scheduled | |
| | 8:00-9:00 PM | A Funny Thing Happened on The Way To My Work Project P. Murphy | 8:00-9:00 PM | Participants viewed video tapes of 1st three weeks | Ms. Murphy's plane was delayed. Participants re- quested video tape review |

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KRP = Key Resource Person; MD = Management Discussant

| DATE | SCHEDULED TIME | SCHEDULED EVENT | ACTUAL TIME | ACTUAL EVENT | COMMENTS |
|-----------------------|----------------|--|----------------|---|--|
| Wednesday March 14 | 9:00-10:00 AM | Overview From Work Project Diaries J. Furcon | | as scheduled | |
| | 10:15-11:45 AM | Workshops on Work Projects <u>Improving Communications Within The System</u> KRP: M. Dodson MD: J. Furcon Reorientation of a State <u>Correctional Institution: People First, Buildings Second</u> KRP: J. Mahan H. Corrothers MD: G. Fox <u>Intervention on Behalf of Inmates</u> KRP: J. Goode MD: F. Pearson <u>Supervisory Training in a Changing System</u> KRP: B. Cook C. Lumpkin MD: M. Veronee | | as scheduled | |
| | | | 11:45AM-1:00PM | A Funny Thing Happened On The Way To My Work Project P. Murphy | Ms. Murphy's presentation was rescheduled from evening of March 13 |
| | 1:30-3:00 PM | Workshops on Change Strategies <u>Politics</u> KRP: B. Little MD: F. Pearson | | as scheduled | |

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KRP = Key Resource Person; MD = Management Discussant

| DATE | SCHEDULED TIME | SCHEDULED EVENT | ACTUAL TIME | ACTUAL EVENT | COMMENTS |
|----------------------------------|-----------------|--|--------------|--|----------|
| Wednesday March 14 Cont'd. | 1:30-3:00 PM | <u>The Massachusetts Experience</u> KRP: W. Madaus MD: M. Veronee <u>Research</u> KRP: J. Ginther MD: G. Fox <u>Recommendations of the National Commission on Standards & Goals</u> KRP: N. Morris MD: J. Furcon | | as scheduled | |
| | 3:15-5:00 PM | The National Institute of Corrections: Past, Present, Future P. Bensinger | 3:15-4:15 PM | The National Institute of Corrections: Past, Present, Future P. Bensinger | |
| | | | 4:15-4:45 PM | Election of NIC Representatives begun | |
| Thursday March 15 | 9:00-11:00 AM | Developments in the Law Since July, 1972 R. Singer | | as scheduled | |
| | 11:15AM-12:45PM | Workshops on Determinants of the Future <u>A Judge's Viewpoint</u> KRP: Judge W. Bauer B. Hogan MD: J. Furcon | | as scheduled | |

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KRP = Key Resource Person; MD = Management Discussant

| DATE | SCHEDULED TIME | SCHEDULED EVENT | ACTUAL TIME | ACTUAL EVENT | COMMENTS |
|---------------------------------|-----------------|--|-----------------|--|----------|
| Thursday March 15 Cont'd. | 11:15AM-12:45PM | Implementing Morrissey KRP: R. Singer MD: M. Veronee Parole Revocation KRP: L. Linde MD: F. Pearson Administrators in Litigation KRP: F. Frey MD: G. Fox | 11:15AM-12:45PM | Implementing Morrissey and Parole Revocation (run as single workshop) | |
| | 2:00-4:00 PM | Crime Specific Planning--A Dialogue with George B. Trubow | 2:00-3:45 PM | Crime Specific Planning--A Dialogue with George B. Trubow | |
| | | | 3:45-4:15 PM | Election of the NIC Representatives and alumni director completed | |
| | 7:30-11:00 PM | Pre-Release Celebration | | as scheduled | |
| Friday March 16 | 9:00-10:30 AM | Keynote Address D. Rothenberg | | as scheduled | |
| | 10:45-11:45 AM | Project Evaluation E. Marcus B. Block B. Little | | as scheduled | |
| | 11:45AM-Moon | Presentation of Certificates | | as scheduled | |

KRP = Key Resource Person; MD = Management Discussant

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June 30: The grant period ends

While the objectives of the Institute for Criminal Justice Executives remained constant, the methodology underwent considerable change due both to the Participant Steering Committee's role in formative evaluation and the project staff's growing familiarity with the participants. The possibility for methodological flexibility was a key feature of the program developed. However, the degree of methodological change was not anticipated.

This report will follow the outline below:

The Temporary System: Educational Evaluation

Description of sources and forms of data used

Conclusions and recommendations

Appendices

The conceptual framework for the evaluation

Proposed instructional objectives

Participant information

The Parent System:

Relationships

Need for an overarching educational plan

The Systems Impact:

Changes in job behavior

Changes in organizational characteristics

Comparison of organizational systems

Appendix: Major instruments used

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General Appendices:

Phase I - Participants

- Administrator-Participants

Phase III Participants

Background Information on Participants

Field Observations

Work Project Diary: Instructions and Titles

Resources

Textbooks and Materials Provided

Final Budget Statement

All quoted statistical results in the report refer to the specific participants in The University of Chicago Institute and, unless otherwise noted, reflect a percentage of those actually responding to a given item.

THE TEMPORARY SYSTEM:
EDUCATIONAL EVALUATION

William S. Griffith
Evaluation Team Leader

John Ginther
Consultant for Phase III

Sondra Cox
Maureen Fay
Edward E. Marcus
Research Assistants

PREFACE

This report of the educational evaluation team is organized as follows:

- A. A short description of the sources and forms of the data used by the team.
- B. Next, each of the conclusions is re-presented in order, with a list of the major findings from the data accumulated by the team which led to it and to the related recommendation(s).
- C. Appendices to the report contain (1) a brief discussion of the conceptual framework or rationale of the educational evaluation, (2) list of the instructional objectives that were proposed for the Summer Institute, and (3) summaries of the statements made by the participants about themselves and about the program.

A. Sources and Forms of Data

The data used by the educational evaluation team are extremely voluminous. Rather than presenting all of the data, which are in the files of The University of Chicago Center for Continuing Education, only such data as relate directly to the conclusions and recommendations stated in the preceding section will be given in summary under each conclusion.

Furthermore, only those conclusions and associated recommendations have been set forth which appeared to be relevant to the goals of the program, insofar as the goals could be identified. It is acknowledged that other observers might identify additional goals and emphasize relationships which are not pointed out in this report. In the interest of developing a useful report, many of the possible inferences have not been included because, in the judgment of the educational evaluation team, they are of minor importance.

In appraising the soundness of the conclusions on the basis of the evidence stated for each, it is also necessary to note that data from various sources and in different forms generally supported these particular conclusions. Such data may be classified under three headings, as follows:

1. Data available for initial program planning.--This category consists of information contained in "background" reports of the Williamsburg and Dallas conferences, the grant proposal, inter-office memoranda, correspondence between Summer Institute personnel and the National Institute of Corrections, evaluation staff notes, preliminary schedules, published announcements, and correspondence with resource people and with participants.

2. Program data.--For the most part, these consist of data generated by the educational evaluation team through observation. The remainder is information in final and revised program schedules, rosters, and instructions given to the participants.
3. Participant data.--These are data generated by the educational evaluation team through interviews with participants and faculty, questionnaires, informal discussions, and participants' testimony, including their work project diaries.

B. Conclusions, Supporting Data, and Related Recommendations

In this section each conclusion is underlined; the data summary appears as the numbered statements following the conclusion; and each recommendation is specifically identified as such.

1. The lack of specific educational objectives stated in behavioral terms did not provide the necessary structure (a) for developing the program, (b) for guiding the faculty, (c) for integrating the three components, (d) for shaping the expectations of the participants, (e) for developing evaluative instruments, and (f) for continuous modification of the program.
 - a. Developing the program.
 - (1) Guidance supplied by conferees at the Dallas meeting, February 2-3, 1972, for subsequent program planners was very broad and general in nature.
 - (2) The program objectives stated in the grant application were, of necessity, also broadly stated.

Recommendation 1a: That the end-goals of future institutes of this type be specified with enough precision that those charged with designing the program to realize those goals will have clear-cut guides to their decision-making.

b. Guiding the faculty.

- (1) Instructional objectives were generally imprecise and, such as they were, were not imparted to many of the speakers, so that they could not serve as guides for the selection of appropriate learning experiences by the faculty members.
- (2) Faculty members had no reliable way of ascertaining during the program whether or not learning was occurring.

Recommendation lb(1): That the program planners in the future undertake to specify the program objectives in advance in a form capable of being measured to supply reliable evidence of desired cognitive gain and attitudinal change.

Subrecommendation lb(1): An evaluation consultant should be involved in working with the planners from the very start, in order to assure that proper assistance is provided the planners to enable them to carry out this recommendation.

Recommendation lb(2): That such specifications of measurable program objectives be communicated to all members of the faculty in sufficient time to be included in their lesson and presentation plans.

Recommendation lb(3): That faculty members of institutes of this type be required to conform to specified program objectives and to supplement them with detailed subobjectives, also susceptible of measurement, of their own.

c. Integrating the three components.

- (1) Although "executive development" was stated as a central concern of those who first conceived the program, they did not define the term. As a result, it appeared to mean something different to the criminal justice component than it did to the management component.
- (2) In the preplanning, the management component tended to underemphasize the worth of cognitive objectives while emphasizing affective ones, whereas the criminal justice component tended to underemphasize the value of affective objectives and placed greatest emphasis on cognitive ones.
- (3) The objectives of the evaluation component-- including the development of instructional objectives by all the components in forms suitable to support educational evaluation operations-- were partially accepted by the management component, but their utility was less apparent to those in the criminal justice component.

Recommendation lc: That objectives for future institutes of this type specify the standards for the following that are to be met by the components--

- (1) Definition of important concepts and relative roles of the separate components, so as to make explicit their complementary nature;
- (2) Gross process implications (i.e., cognitive/affective or lecture/group discussion-workshop emphases);

(3) Evaluation aspects to be incorporated in all component plans.

d. Shaping the expectations of the participants.

- (1) The participants arrived with disparate expectations and objectives.
- (2) At least initially, the participants did not see the Summer Institute as directed to the improvement of management skills. (Some thought that the program was for "executives.")
- (3) Correspondence with participants in advance of the program was not explicit with regard to what the participants would be expected to learn. (For example, they anticipated that more time would be spent on treatment modalities.)
- (4) Participants saw some aspects of the program as irrelevant to their perception of the purposes of the program. (Some thought they would be shaping the National Institute of Corrections.)
- (5) Participants generally were unaware of the necessity for collecting evaluative data of particular kinds to be used in assessing the effectiveness of program planning and instruction.
- (6) Many participants were unaware of the requirements for an individual work project and attendance at a later "fourth week" program when they arrived. Differing perceptions about the purposes and worth of the projects continued throughout, even into Phase III.

Recommendation 1d(1): That in the future, objectives be specified in terms meaningful to participants and be communicated to them sufficiently in advance of their attendance to give them opportunity to think about and react to them (e.g., to secure more information or to withdraw applications).

Recommendation 1d(2): That information regarding participants' own felt training needs be collected and supplied to program planners and faculty enough ahead of time to allow plans to be made to handle such matters as diversity of needs and characteristics of the prospective learners.

e. Developing evaluative instruments.

- (1) The program objectives did not indicate the nature of the desired terminal behavior that would constitute appropriate evidence of the success of instruction.
- (2) Because of the inadequacies of the statements of the educational objectives, pretests could not be designed to verify the faculty's presumptions about the state of the knowledge in the possession of the participants at the time of their arrival for the Summer Institute.

Recommendation 1e: That in future programs of this type, objectives of program planners and individual faculty members be communicated to the educational evaluation component in time and sufficient degree of specificity to allow for the development of effective instruments of evaluative data collection and measurement, including a pretest of knowledge of subject-matter to serve as a data base for subsequent calculation of the amount of cognitive gain.

f. Continuous modification of the program.

- (1) In effect, instructional objectives for this program were not adequately stated so that all of the faculty understood them or how they were to be used. They lacked sufficient precision to enable the furnishing of a flow of meaningful evaluative information to those responsible for changing the program to improve it as it went along.

Recommendation 1f: That objectives for future programs of this kind include the specification of subobjectives suitable in nature, detailed enough, and sufficiently acceptable to both faculty and participants to serve as the basis for continuous modification of the ongoing program.

2. For optimal integration of the three educational components of the program--criminal justice, management, and evaluation--to be realized required the blending of disparate conceptions of both subject matter content and educational process within a restricted time-frame.

- (1) The students did not see the program as tied together, for a number of reasons. An important one was that the management component placed heavy emphasis on attitude changes in participants that were expected to occur through the utilization of certain group-dynamic processes, while the criminal justice component planned to rely on lectures and assigned reading to impart information to them. (Such diversity of approach is normally desirable, but the following statements suggest some of the reasons why knitting the program together was less than optimal in this instance.)

- (2) The components competed with each other for the use of available time in the agenda. (This is a datum, not a criticism. It points to a factor that also needed to be overcome in achieving integration of the program.)
- (3) Members of only one of the components found themselves able to regularly attend and actively participate in the program sessions conducted by the others.
- (4) Concepts of evaluation as taught by the three components separately did not result in a unified concept of evaluation in the minds of the participants, who remained unable to recognize the evaluation processes they witnessed as in use in the Summer Institute or to relate them to what they were taught about the evaluation of information and programs.

Recommendation 2: That integration of the three components in future institutes of this type be achieved through sharing of significant concepts and processes to an extent sufficient to make a more unified impact on the participants, involve each component effectively in the concerns of the others, and produce a program whose components are obviously integrated.

3. The Participant Steering Committee played a major role, to which the faculty did not respond optimally, in moving group participation in the program from a less educationally desirable authoritarian model to a more educationally desirable interactive one.

- (1) The faculty first made substantial changes in the agenda and modes of instruction after it was faced with decisive action by the Steering Committee.

- (2) Group interaction increased noticeably after the Steering Committee gained recognition as a potent force for change in the program as it was initially planned. The satisfaction of the participants was especially apparent in the fourth week, which was planned by the faculty cooperatively with the Steering Committee.
- (3) Because of the absence of effective evaluative instruments resulting from insufficiently measurable instructional objectives and the lack of a useful data base, the Steering Committee was the only channel of meaningful information about what was happening to the participants during Phase I.

Recommendation 3: That some form of participant representation be incorporated into the planning for and conduct of future National Institute of Corrections programs. If it is not possible to form a committee of actual program participants early enough to involve it in the program preplanning, persons typical of the population from which the participants are to be drawn should be included in the planning.

4. Structural supports for important features of the program, such as (a) the means to be employed to identify potential leaders for the criminal justice field from among the participants and (b) the means for making the extra-institutional arrangements adequately educational, should have been more specifically defined.
- (1) No means for identifying potential correctional leaders were specified by the Dallas conferees, the funding agency, or the program planners.

- (2) The program planners did not specify the purposes of the field trips or attempt to direct the learning of the participants engaging in them.

Recommendation 4(1): That detailed plans for future National Institute of Corrections programs include proper and sufficient educational preparation for all features of the program, including field trips, inclusion of eminent persons as guest speakers, employment of audiovisual aids, and practical exercises.

Recommendation 4(2): That the realization of all objectives which are not essentially educational--like the identification of potential leadership for the profession--be separated from educational goals and referred to means other than planned instruction to accomplish (like a professional conference or society).

5. The role of the students in structuring the program was not consistently defined for all concerned and probably led to misinformation being released initially to the field.
- (1) The brochure announcing the Summer Institute provided a set of promises in general terms which may have misled the students--e.g., references to "other disciplines" may have contributed to their erroneous conception that psychological and sociological approaches to corrections were going to be covered.
- (2) Other misleading information appeared to have reached the participants directly or indirectly, to the effect that they were going to be required to play a meaningful role in designing the National Institute of Corrections--something later expressly denied by responsible representatives of authority at the Summer Institute.

- (3) The relationship between the participants and the Participant Steering Committee was not adequately defined. (Some participants did not regard the Committee as actually representing them.)

Recommendation 5: That, for future programs, role expectations for the participants vis-a-vis the corrections field, the National Institute of Corrections, the Participant Steering Committee, and the faculty be precisely and consistently defined, to the maximum possible extent, and be clearly communicated to them. If they are going to be accorded the freedom to make certain categories of decisions for themselves as a group, the limits of their discretion should be made known to them in advance.

6. The data base for program planning was inadequate in terms of student academic and experiential backgrounds, expectations, attitudes, institutional locations, administrative responsibilities, and levels of sophistication in management. This (a) produced the charge by the participants that readily available resources within the group itself went untapped during Phase I and indeed (b) impaired the effectiveness of the planning for Phase I.

- (1) Only assumptions about the potential student group were available to the program planners, since the first concrete data about the actual participants were not received before the Phase I program had been fully planned and final arrangements were under way. (For example, the grant application stated that many administrators in the criminal justice field "are deficient in the theory and practice of management," but data about the participants acquired later showed that in general they did not regard themselves as deficient in management matters.)

- (2) The cogent concerns of many participants differed markedly from the assumptions of the program planners, with regard to their opinions about their own skills as managers, their provincial or one-agency outlook, their interest in correctional treatment modalities, and other matters.
- (3) The participants were (a) more heterogeneous, (b) better educated, and (c) more oriented toward psychology, sociology, and social work than the program planners assumed they would be.
- (4) The participants regarded themselves as having funds of knowledge and experience that rendered them fully capable of contributing to the leadership of the program and demonstrated the validity of this belief in the fourth week program.
- (5) The program was not designed to exploit the diversity of the students for constructive educational purposes-- therefore, their differences of viewpoint frequently erupted in squabbles, lack of trust, and expressed feelings of frustration concerning the program.
- (6) It is at all surprisingly, the self-perceptions of the participants were such that they tended to see more faults in the outside world than in themselves, therefore to resent the implications of faculty members that their own deficiencies as managers and operatives were responsible for very many of their problems. Adult educational

practices are especially appropriate for assisting adult learners to overcome their natural disposition to blame others for their difficulties.

Recommendation 6(1): That planning for future National Institute of Corrections programs be based as far as possible on known characteristics of the expected participants, instead of speculation about them.

Recommendation 6(2): That data about participants be accumulated before detailed program planning is undertaken and be imparted to the program planners for their guidance in planning the program.

Recommendation 6(3): That future programs provide opportunity for a variety of learning experiences sufficient to meet the diverse needs of a heterogeneous student body (or, conversely, that the extent of heterogeneity in the prospective student body be controlled by judicious screening and selection processes).

Recommendation 6(4): That the capabilities of the participants themselves be taken into account in selecting program leadership. (A conference type of format might well be utilized, in which expert resource people from outside the participant group are commingled with leaders from the participants in a balanced overall set of leadership resources.)

7. The program was adversely affected by absence of (a) optimal lead time and (b) appropriate administrative arrangements to compensate for the absence of optimal lead time.

- (1) One of the goals of those who initially conceived the program was "early visibility" for the National Institute of

Corrections. A date was specified in advance of planning and adhered to despite awareness that it might prove to allow insufficient time for all preparations.

- (2) The time that was available was insufficient for adequate performance of many necessary and important tasks involved in setting up the program.

Recommendation 7(1): That designers of future programs of this type assume an optimal lead time, defined as long enough to accomplish the following things--

- (a) State all objectives in measurable behavioral terms;
- (b) Secure input from prospective participants regarding their objectives;
- (c) Process necessary communication by correspondence and telephone with the faculty regarding their contribution to meeting the objectives;
- (d) Allow key personnel enough time to rearrange their affairs in order to free up enough time to participate fully in the program in terms of their objectives;
- (e) Handle adequately all arrangements for financing, promotion, meeting places, equipment, supplies, reproduction, housing, transportation, recreation, mailing and processing, and other ancillary matters.

Recommendation 7(2): If optimal lead time cannot be provided, suitable administrative provisions--such as delegation of authority to act decisively, in lieu of negotiation about program decisions by

coequal program component leaders, to the program coordinator-- should be instituted to the extent necessary to compensate for the shortage of time.

8. Overprogramming the time schedule during Phase I led to the crowding of events, inability to discuss many important ideas sufficiently, and general feelings of being rushed, not having enough time to think, and fatigue.

- (1) During Phase I, many participants complained about the pressures of time, fatigue, and absence of adequate time for rest and recuperation or to discuss subjects in which they were interested.
- (2) During Phase III--in which the scheduling allowed ample time for group discussion of program topics--the general tenor of participants' comments about this matter was definitely favorable instead of unfavorable.
- (3) Program planners jockeyed with each other for more time and better-selected time in the Phase I schedule, and some faculty members openly exhibited annoyance at the limitations created by the schedule.

Recommendation 8(1): That the program for future institutes be designed to provide a dynamic and challenging balance between sessions devoted to information input, opportunities for satisfying discussion of key topics, involvement in stimulating educational activities in other forms, and adequate recreation and relaxation. (Explanatory note: There are underlying assumptions here that feelings of fatigue arise from boredom instead of vigorous participation and that the participants' complaints during Phase I expressed more their tendency to resent being victims of manipulation than a state of real pressure--

i.e., if they had had more of a hand in determining their own activities, they would easily have tolerated as much overprogramming as may have occurred in this instance without complaining about it.)

Recommendation 8(2): That improved integration of the subject matter components rather than any reduction in the volume of subject matter be utilized as the chief means of avoiding conflict between components over periods of time in the schedule.

9. At the outset, the involvement of the learners in the educational process was more nearly like that which occurs in conventional secondary education than in adult education. As better adult education practices were employed, the participants felt that their experiences markedly improved.

- (1) In the preplanning, the program designers acted on the assumption that the participants would fill the role of docile students--would listen attentively to lectures by preselected authorities, willingly carry out assigned exercises, and comply unquestioningly with the desires of the program planners.
- (2) Although the program planners acquiesced in the designation of a Participant Steering Committee, the plans lacked positive provision for changing any part of the program as a result of a meaningful dialogue with the participants.
- (3) Observers appraised the behavior of the participants as more "adult," in terms of mutual supportiveness, group-task instead of own-ego orientation, and degree of involvement, after regular adult education procedures became more of a rule in the program.

Recommendation 9: That the teaching methodology employed in future institutes of this category conform to established principles and standards of continuing professional education, which require that proper respect be shown for the experience and active participation of the learners.

10. The selection of participants to attend the Summer Institute was not altogether appropriate, as indicated by such facts as (a) the lack of representation of judges and (b) the inclusion of different levels of management in a program designated as for "executives."
- (1) The participants perceived the lack of attendance by suitable representatives of the judiciary as an indication that the program designers were not really committed to planning in terms of a complete criminal justice "system."
 - (2) Some participants claimed that they were misled by the title of the program to assume that all participants would be top-level managers with a similar level of management concern.

Recommendation 10(1): That if the intention of the program is to deal with matters and issues of concern to the whole criminal justice field, all significant sectors of the field be represented among the participants.

Recommendation 10(2): That selection factors be internally consistent and in harmony with program objectives, plans, and promotion.

11. Important implications for future programs can be derived from the findings that (a) the Phase II work projects undertaken did not constitute necessarily new ideas but that (b) the program provided the necessary stimulation for accomplishing them.
- (1) Most participants testified in interviews during Phase III that they had not thought up fresh ideas to meet the

work project requirement, but that the projects they undertook as a result of the requirement owed impetus and some measure of relative success to the participants' attendance and learning that occurred in Phase I.

- (2) The relative success experienced by many of the participants indicated that the work-project concept provides a useful submodel for improving and testing management skills.

Recommendation 11: That the work project concept be retained and improved, both as a means of teaching through guided practice of management skills and a way of testing the effectiveness of the learning of the participants.

12. In general, the participants liked the facilities and services of the Center for Continuing Education at The University of Chicago and the "cultural island" format.

- (1) This conclusion merely states in summary form the actual data obtained from the participants about these matters.

Recommendation 12: That the "cultural island" or "retreat" aspect remain a part of the institute model.

13. The program as executed could not be regarded as the ideal model for subsequent workshops, because it was carried out with the explicit intention of being sensitive and alert to problems as they arose so that a subsequent workshop could be planned, executed, and evaluated to serve as a model.

- (1) Early guidance to program planners indicated that innovations were to be tested out at the Summer Institute.
- (2) The Participant Steering Committee was established as an input mechanism for advice on improving the program.

- (3) Based on their experience with this Institute, the participants did not agree on the best model to employ in future institutes but tended to favor this one.

Recommendation 13: Another workshop should be held which would draw explicitly on the experience gained in this first Summer Institute. The evaluation of that activity would then reveal the extent to which the planners had been successful in developing a model suitable for replication.

14. Visibility of the National Institute of Corrections was achieved through such factors as the number of states represented among the participants and the number and diverse backgrounds of the faculty and guests.

Recommendation 14: Continued representation of the criminal justice field on a broad geographic, institutional, and personal scale will maintain continuing visibility of the government's program.

15. The level of management skill practiced by many of the participants was raised as a result of attendance at the Summer Institute, as indicated by (a) data from interviews with the participants, (b) judgment of their work projects, and (c) the evaluation of the systems impacts of the program.

- (1) Some of the participants reported improving the ways they have handled some of the duties of their positions as a result of their participation in Phase I.
- (2) Expert judgment of the reports of the projects and reports resulting from field visits by another element of the evaluation effort provided additional supporting evidence for this conclusion.
- (3) There was some lack of clarity among both participants and faculty concerning the nature of management and how it operates in criminal justice settings. (As a result of

this finding, some of the learning that occurred appeared to be achieved incidentally instead of purposefully.)

Recommendation 15: Structuring of the program should be such as to remove any question in the participants' minds as to intention to improve management proficiency.

Although gains in management skill may have been modest and, given, that the instruments used in data-collection were somewhat inadequate, nevertheless, the apparent improvement in management skills on the part of the participants seems to suggest that the Summer Institute for Criminal Justice Executives did in fact achieve its primary objective.

APPENDIX I

CONCEPTUAL FRAMEWORK

1. Evaluation in Continuing Professional Education

a. The government specification for the evaluation effort was that it be both formative and summative. The main reference on formative and summative evaluation is the Handbook on Formative and Summative Evaluation of Student Learning, by Benjamin S. Bloom, J. Thomas Hastings, and George F. Madaus.¹ Although the Handbook cites the need for continuing education (*ibid.*, p.6), it deals with learning only in the formal schooling context (*ibid.*, p. 7). For that reason, efforts to evaluate continuing educational activities not characterized as "having a fixed curriculum, a graded set of learning tasks, and a mixed group of learners to be classified at each major time unit in the system," must freely adapt the principles set forth in the Handbook--in effect, must create a suitable evaluation model for each unique continuing professional education "program."

b. The Handbook presents a broad view of evaluation and its place in education, as follows (*ibid.*, pp. 7 and 8):

- (1) Evaluation as a method of acquiring and processing the evidence needed to improve the student's learning and the teaching.
- (2) Evaluation as including a great variety of evidence beyond the usual . . . examination.
- (3) Evaluation as an aid in clarifying the significant goals and objectives of education and as a process for determining the extent to which students are developing in these desired ways.
- (4) Evaluation as a system of quality control in which it may be determined at each step in the teaching-learning process whether the process is effective or not, and if not, what changes must be made to ensure its effectiveness before it is too late.
- (5) Finally, evaluation as a tool in educational practice for ascertaining whether alternative procedures are equally effective or not in achieving a set of educational ends.

¹New York: McGraw-Hill Book Company, 1971.

In the case of a continuing professional educational activity presented for the first time with the intent of forging a model or prototype for further offerings of the National Institute of Corrections, evaluation was uniquely and outstandingly important for each of the reasons indicated; it must be clear that there was little opportunity to utilize it for the fifth purpose. Such opportunity was not totally missing, but it will take evaluation of a number of programs planned and conducted in different ways to deal more adequately with "alternative procedures."

c. The formative/summative evaluation model is based on a definition of education as "a process which changes the learners," requiring concern with means and ends. (*ibid.*, p. 8) Evaluation is seen as "the systematic collection of evidence to determine whether in fact certain changes are taking place in the learners as well as to determine the amount or degree of change in individual students." (*ibid.*, p. 8) This gives rise to a set of questions about the kinds of change taking place in learners. A variety of changes may occur, among which the evaluation essentially focusses upon changes which can be compared with predetermined ends or objectives. A statement of an objective is an attempt to clarify or communicate the sought-for changes in the learner. (*ibid.*, p. 20)

d. Formative evaluation intervenes while the process of changing the learner is under way. "It points to areas of needed remediation so that immediately subsequent instruction and study can be made more pertinent and beneficial." (*ibid.*, p. 20) At the Summer Institute, evaluative information was collected to provide a data base for modifying the plan, adapting it to the actual rather than the anticipated audience and adjusting the structure to match the actual conditions. In formal schooling situations, summative evaluation involves grading or certifying students, judging the effectiveness of the teacher, and comparing curricula. (*ibid.*, p. 20) With regard to the Institute, these functions must be regarded only as serving a broader, longer-range purpose, that of evaluating the program in relation to the goals of the National Institute of Corrections.

2. The Design of Continuing Professional Education Activities

The process of conceiving, designing, and effecting education for adults is not polymorphous, despite the polymorphous nature of programs intended to bring about changes in adults through learning. A comprehensive model of educational program design is stated by Cyril O. Houle in The Design of Education.¹ The value of the model, (or, as Houle called it, "the fundamental system") is that it provides a thought-structure within which to describe the process being evaluated. The Houle "system" first defines the design situations (*ibid.*, p. 44) and then presents a set of decision points and components in each situation (*ibid.*, p. 47) as follows:

¹San Francisco: Jossey-Bass Inc., 1972.

- (1) A possible educational activity is identified.
- (2) A decision is made to proceed.
- (3) Objectives are identified and refined.
- (4) A suitable format is designed (including resources, leaders, method, schedule, sequence, social reinforcement, individualization, roles and relationships, criteria of evaluation and clarity of design).
- (5) The format is fitted into larger patterns of life (including guidance, life style, finance, and interpretation).
- (6) The plan is put into effect.
- (7) The results are measured and appraised.

3. The General Evaluation Model

While neither the Handbook nor the work by Houle furnish a model for the actual evaluation effort at the Institute, what has been called "the systems approach" provides a widely-known model for general practical use. Called the closed-loop feedback technique, it has been illustrated by Edward E. Marcus, a member of the evaluation team for the Institute, as follows:

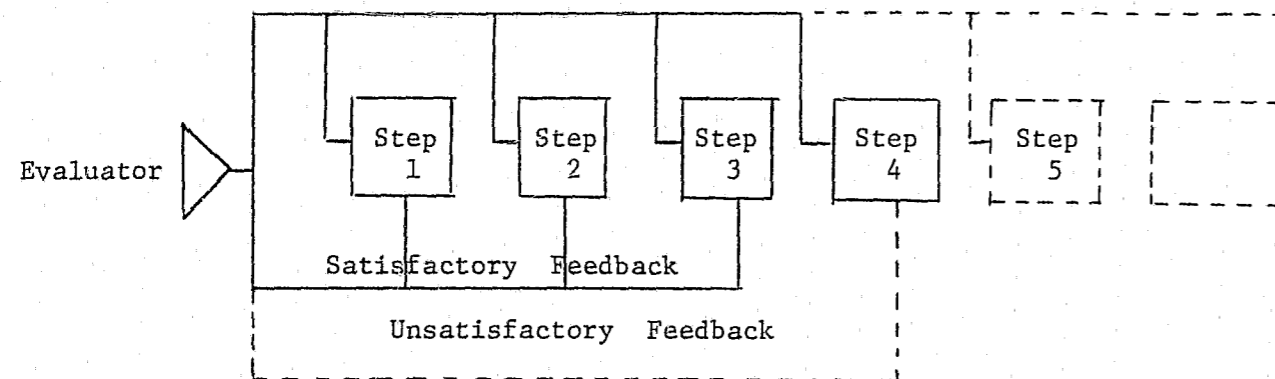


Figure 1. From Planning for Educational Personnel Needs for the State School System, prepared by Edward E. Marcus for the Institute for State Education Agency Planners. Mankato State College, Minnesota: June, 1970, p. 92.

The above illustration shows that evaluation occurs at each step in the educational process and that, as long as the information flowing back to the prime evaluator--the manager or decision-maker who determines that the process will continue--is satisfactory, the steps continue in succession as initially planned. When the feedback becomes unsatisfactory, the prime evaluator intervenes in the process to modify or halt it. Subsequent modification may take place at any step in the process.

4. The Specification of Acceptable Evidence

The nature of the evidence which yields the information fed back to the educational program decision maker also has to be considered. Objective evidence depends upon facts, but John Ginther (a resource leader for the fourth week program) has classified the facts that may be identified in educational evaluation as main, evidential, and (by analogy with the legal model), "judicially noted."¹ The main fact is the actual change of behavior in the learner, which is directly recognizable only in the case of learning very simple motor skills. Most educational facts are evidential in nature, in that learning achievement has to be inferred from clues other than clearly recognized changes in behavior. "Judicial notice" in this context refers to qualities of the learner which come to the attention of the curriculum planner and the instructor at any time and lead to adjustment of the instruction that occurs in the program. Thus, at the Institute, knowledge about the backgrounds of the individual participants constituted "judicially noted" evidence.

5. The Classification of Educational Objectives

Objectives must also be classified, and the standard way of doing this has been indicated by Bloom and others in the two handbooks entitled Taxonomy of Educational Objectives.² The Taxonomy primarily deals with changes of an intellectual or cognitive nature and changes of an emotional-attitudinal or affective nature. For a variety of reasons, in connection with this Institute it proved to be impossible to secure statements of objectives expressed in such behavioral terms. The objectives that were available for the guidance of the evaluators were stated by (1) the Government, (2) the faculty, and (3) the participants. The last of these had a profound impact upon the unfolding of the program.

6. The "Evaluation Model" for the Institute

As stated above, continuing professional education activities take many forms, and a single model for evaluating all of them is too general in practice. In this instance, the closed-loop feedback model illustrated in Figure 1 was elaborated as shown in Figure 2. Still greater elaboration would have resulted in subdividing the parts of the model into all the decision-points in the Houle system. But because complexity is of no diagrammatic value and it is necessary to recognize the two effective subject-matter components and the three time-phases of the program, nothing more complicated in the way of illustration of the model was attempted.

¹John R. Ginther, "A Radical Look at Behavioral Objectives," Education, Research, Method (ERM). American Society for Engineering Education, Vol 5, 1973.

²New York, David McKay Company, 1956 and 1964.

THE EVALUATION MODEL

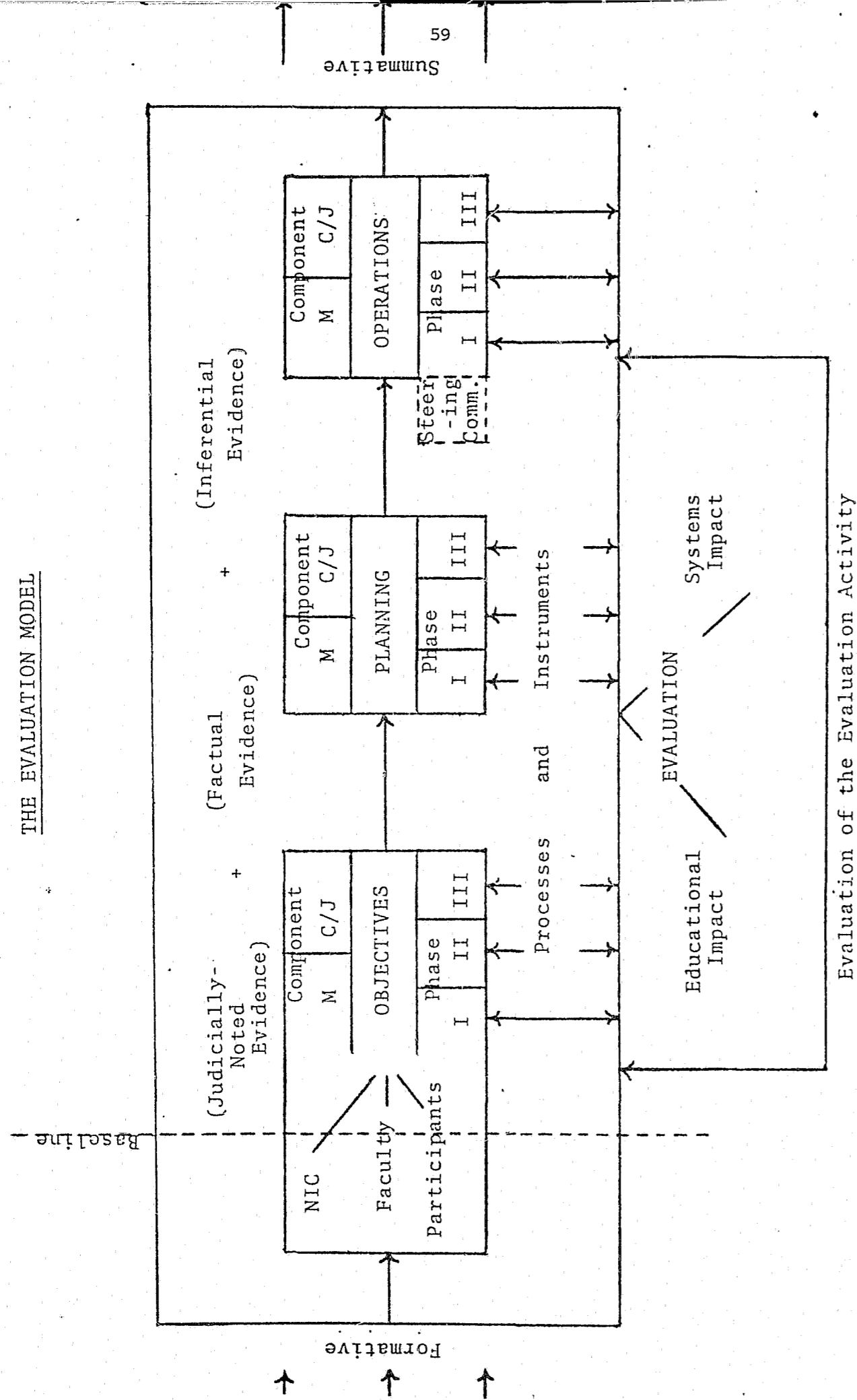


FIGURE 2.

APPENDIX II

INSTRUCTIONAL OBJECTIVES PROPOSED FOR THE INSTITUTE

As explained in the main body of the evaluation report, these statements of objectives expressed in behavioral terms were in different stages of development when the Institute began. A and B were worked out in conjunction with the faculty of the two components designated. List C was proposed to the chief of the criminal justice component after an interview with him but lack of time prevented communicating it to the other members of his team before instruction got under way.

A. Management Component

Leadership

1. As a result of lecture and of filling out the Leadership Inventory, the participants will be able to:
 - describe in own words the four styles of leadership on the "Nelson Scale"
 - describe their own ideal and actual leadership pattern
2. As a result of case discussion and other exercises, the participants will be able to:
 - describe which one of the four styles of leadership is best for various kinds of organization and management situations
 - be willing to be more flexible and responsive in their own leadership in their work environments
 - identify the effects that different leadership styles have on employees with different kinds of needs and motivations

Problem-Solving

1. As a result of lecture and discussion, the participants will be able to:
 - describe the steps in a normative problem-solving process, as outlined in IRC problem-solving workbook
 - describe several alternative forms of current problem-solving technology
2. As a result of participating in several cases and exercises, the participants will be able to identify the various places that this normative problem-solving process can be used in their own organizations.

3. As a result of the above, as well as using the problem-solving workbook with one of their own organizational problems, the participants will wish to use the process when they return to their own organizations.
4. Several of the participants will attempt to implement their plan (problem-solving) during the six months following the Institute.

Management by Objectives

1. As a result of lecture and discussions, the participants will be able to:
 - describe the steps in a normative objective setting process, as outlined in IRC "Management by Objectives" workbook
 - define the criteria that differentiates a well-written objective from a poorly written one
 - relate management opportunities to an objective setting process
 - describe the problems inherent in managing by objectives
2. As a result of participating in small group discussions of cases and other exercises, as well as using the workbook to develop a complete objective, the participants will:
 - wish to try to use the objective setting process in their own organizations
 - be able to write objective statements that meet the criteria of good objectives
3. Several of the participants will attempt to implement their objectives during the six months following the Institute.

B. Evaluation Component

Given an example of a comment about human performance in an organization, participants will be able to state in general terms how they would proceed to identify and systematically analyze the performance problem suggested by the comment.

C. Criminal Justice Component

1. Given three hypothetical proposed changes in the criminal justice system, the participants will be able to identify logical consequences of the proposed changes.
2. Given three examples of changes in the criminal justice system and the unanticipated consequences of those changes, the participants will describe another change and its "unanticipated" or unintended consequences.

3. Given a standard national report of criminal statistics, the participants will be able to distinguish between warranted and unwarranted conclusions drawn from these data and to explain the reasons for their decisions.
4. Given a set of uniform crime reports, the participants will be able to rank the individual measures in terms of their reliability.
5. Without the use of references, the participants will be able to write a description of a "cohort study."
6. Without the use of references, the participants will describe the historical growth of prisons, probation, and parole as explained by the speaker on this subject.
7. The participants will identify the forces or interests favoring (promoting) and resisting specific changes in the criminal justice system as outlined in the presentation by the speaker on this subject.
8. Based on lecture and discussion led by the speaker, the participants will list at least four advantages and four disadvantages of the increasing involvement of the courts in judicial administration.
9. The participants will write an essay of no more than 1,000 words describing the consequences of the trend toward the restriction of discretionary authority of administrators in the criminal justice system by the courts.
10. Following a lecture-discussion, the participants will be able to list five fashions and five trends and to describe how the decision is made to classify each.
11. Following a lecture-discussion, the participants will identify at least three sets of contradictory assumptions which are commonly used to justify segments of the criminal justice system.
12. Following a lecture-discussion, the participants will be able to describe the current state of the criminal justice system statistically.
13. Following a lecture-discussion, the participants will be able to describe the political process by which the judgments of the courts eventually get translated into changes in the criminal justice system.
14. The participants will define discretionary authority and give concrete examples of its appropriate use and abuse.

15. After studying a paper the participants will be able to describe a conception of a National Institute of Corrections, identifying its major functions and explaining their interrelationship.
16. Following a lecture-discussion, the participants will be able to describe the component parts of a uniform state code of justice and to explain the forces which are influential in the development of such codes in Illinois and in other states.
17. Following a lecture, the participants will define plea bargaining and identify at least two intended and two unintended consequences of the increasing use of this process.
18. Following a lecture, the participants will be able to identify the advantages and disadvantages of the practice of releasing individuals on their own recognizance.
19. Following a lecture, the participants will be able to describe trends in the unionization of prison employees and prisoners.
20. Following a lecture, the participants will be able to identify at least three consequences of the trend toward unionization on the part of individuals working within the criminal justice system.
21. At the conclusion of the Institute, the participants will be able to describe the interrelationship between their own role and those of individuals in all other parts of the criminal justice system.
22. Following a lecture, the participants will be able to name at least three of the intended consequences and three of the unintended consequences of mandatory minimum assignment.
23. Following a lecture, the participants will be able to describe at least two different systems for the classification of prisoners and at least two advantages and disadvantages of each.
24. Following a lecture, the participants will be able to explain their own proper role in relating to the courts.
25. At the end of the Institute, the participants will be able to write a description of the present state of the criminal justice system that is consistent with the data contained in the uniform crime reports.
26. At the end of the Institute, the participants will be able to describe the ways in which each of the component parts of the criminal justice system reinforces and supports the work of each of the other component parts.

APPENDIX III

PARTICIPANT INFORMATION

1. Source: Participant Applications

There were 43 regular "student" participants. Two represented Government agencies and regarded themselves chiefly as observers; they responded to some of the evaluation instruments and not to others. Two did not attend the fourth week at all; two attended parts of it only as resource people, not as participants. Two attended only the fourth week.

The group was overwhelmingly male: only six participants (14%) were women.

No personal resumes were received for six, and two resumes were partial only, therefore the data following does not add up to 43 cases in any instance. (The percentages are not figured on the basis of 43, but on the basis of the actual number of participants for whom information was furnished.) Five (12%) came from federal agencies, 22 (54%) from the state level, seven (17%) from counties, and seven (17%) from municipal agencies. Twenty-six states were represented, representing these regions: Midwest, 15; East (except New England), 13; South East, 6; South Central, 4; New England, 2; West, 2.

They represented the following fields of current work:

| | |
|---|----|
| Juvenile - Institution | 8 |
| Juvenile - Probation | 7 |
| Juvenile - Parole | 2 |
| Juvenile - Community Treatment Programs | 1 |
| Adult - Institution | 9 |
| Adult - Probation | 4 |
| Adult - Parole | 3 |
| Adult - Community Treatment Programs | 4 |
| Courts | 0 |
| Law Enforcement | 2 |
| Unidentified | 8* |

*Equals over 100% because several participants were working in several of these fields at the same time.

Summary: Total Juvenile, as reported 14 (40%)
 Total Adult, as reported 19 (54%)
 Law Enforcement 2 (6%)
 Courts 0

Average number of years in present position: 4 1/2
 (range, .6 to 24)

Number of years experience in the criminal justice system:

12 3/4 (range, 1 to 32). (Note: Data from other sources indicate the possibility of considerable discrepancy in some of this information; e.g., as between 6 and 13 years of total experience in the case of one participant.)

Age at commencement of program: 39 years
 (range, 27 to 55).

Education:

| | | | |
|---|----|---------------------|----|
| Completed H.S. only | 1 | H.S. Diploma only | 2 |
| Completed 1 year of college only | 1 | Bachelor's degree | 14 |
| Completed college (4 years) | 12 | M.A., M.S. | 10 |
| Completed graduate or professional school | 23 | Professional Degree | 11 |

Major field or area of educational specialization:

| <u>Undergraduate</u> | | <u>Graduate</u> | |
|----------------------|----|-------------------------------|----|
| Sociology | 12 | Social Work | 11 |
| Psychology | 7 | Public Administration | 4 |
| Political Science | 5 | Criminology, Criminal Justice | 3 |
| Business | 3 | Psychology | 3 |
| Education | 2 | Education | 2 |
| Pre-Law, Law | 2 | Law | 2 |
| Other | 12 | Other | 4 |
| Not identified | 3 | None or not identified | 16 |

Opinions

(a) Most important issues and management problems in the criminal justice system? Participants roamed the gamut of possibilities. Thirty-three participants named 70 different ideas a total of

137 times. Grouping these ideas proved fruitless in terms of a search for any kind of pattern. Communications was mentioned only 9 times, training 8 times, staffing 7 times, goals 6 times; research, relations with others, community or public relations, 5 times each.

- (b) Own role in terms of decision making responsibility and effecting change? The responses were almost as varied as to (a). However, from the responses, it was impossible to determine how many of the participants were "executives" in the sense of being the top decision-makers in their organizations. A range was apparent, from being the "institutional decision-maker" to the role of "training."

Note: The instruments containing most of the foregoing information about the participants were received shortly before the institute began, too late to influence major program planning.

2. Source: Participants' First-Day Self-Introductions

Although some of these added information about individuals not found in the application resumes, the main image created en masse was of great diversity of accomplishments, concerns, and problems. Early staff reactions to the effect that "at last we are finding out something about them as persons and what they hope to get out of the program" were doomed to disappointment, except insofar as these expressions created fleeting subjective impressions of personalities.

3. Source: "Evaluation Instrument No. 1"

This instrument was designed to collect some systematic information about the participants' attitudes, perceptions, ideas, and objectives in attending the Institute. It was not intended to provide a baseline for measuring either cognitive or affective change but included several items which it was hoped would reveal the extent of the participants' general grasp of management concepts.

- (a) Saw major purpose of criminal justice as:

| | |
|---|----|
| Protection of society | 18 |
| Rehabilitation of offenders | 8 |
| Maintenance of order | 5 |
| Identification and treatment of asocial behavior | 4 |
| Control of deviancy | 3 |
| Protection of individuals | 3 |
| Control and reduction of crime | 3 |
| Balancing the needs of society and the individual | 2 |

| | |
|-------------------|---|
| Punishment | 2 |
| Cynical responses | 2 |
| Other | 2 |

- (b) Saw major purpose of his own agency as:

| | |
|---|----|
| Rehabilitation, reformation, reintegration to society | 15 |
| Aiding offenders | 9 |
| Confinement, custody, detention | 5 |
| Cynical responses | 3 |
| Prevention | 3 |
| Control of crime | 2 |
| Other (individual items mentioned) | 13 |

- (c) Hoped to obtain from his attendance at the Institute: The range of responses was all the way from an overview of the total criminal justice system to improved specific skills, from exposure to stimulating ideas to basic management techniques and guidelines to accomplish goals of the department. Some wanted to improve their corrections practices, others to provide directive for NIC. Virtually all responses were couched in broad, nonspecific terms.
- (d) Participants were practically unanimous in thinking ways of doing things in their agencies should be changed, but the array of ideas concerning what needed to be changed was a very great one. (The items in this instrument were deliberately constructed to be open-ended, because any attempt to structure responses at this stage would have been premature. It was hoped to be able to classify the responses and detect patterns in them. They were classified, with the results stated in the Interim Report on the Institute, but the only meaningful categorization of the data for this item, as for the others, was that they represented extreme heterogeneity.) Participants were under no illusions that changing agency ways would be easy. To accomplish certain named changes might be "pretty easy" (7), but most changes they proposed to be "pretty hard" (14), "very bad" or "difficult" (14), or "almost impossible" (4) to bring about.
- (e) There was also unanimity that there was something wrong with criminal justice in general in the U.S. Despite the repetition of diversity in responses identifying the "something," a degree of agreement was noted: the group tended to see the system as fractionated, uncoordinated, without clear objectives, and undergoing rapid change; individuals scored it as punitive in orientation, inequitable and non-uniform in practice, and not enjoying much public support. Some saw its greatest needs as knowledge, research, planning, and evaluation.

- (f) Most participants identified the three "traditional" components of the field: law enforcement, courts, corrections, but some saw every separate function performed in the field as a "component." The purpose of the item was to detect the extent of recognition of the system limits; most agreed regarding these, but several also included "legislation" and the community as parts of the criminal justice field.

"Own" component was indicated as:

| | |
|-----------------------------|----|
| Corrections | 17 |
| Institutions, Incarceration | 5 |
| Probation | 5 |
| Parole | 4 |
| Courts, Judicial | 4 |
| Police, Law Enforcement | 3 |
| Rehabilitation | 2 |
| Prevention | 1 |
| Supervision | 1 |

Note: These findings do not reflect one designation per participant; some checked several functions, others gave no information.

A few believed that the various components were related to one another in various ways and degrees, but almost all felt there was no close relation between the criminal justice components.

- (g) On the question, "In my opinion, the three most important tasks the manager of an organization or the supervisor of people has to perform are . . .," the vast spread of answers did not suggest the likelihood that a substantial number of the participants had had much formal management training. Although the item, being open-ended, invited different kinds of replies, and the phrase "most important" was not defined, it was believed that familiarity with the literature in the management field would tend to produce a common core of concepts, probably including the customary terms "planning," "organizing," "directing," "staffing," "coordinating," etc. A few did respond with such terms--very few. The very great range of variation in responses to the item did not enable the staff to gauge even roughly the level of theoretical knowledge about management processed by the participants as a group.
- (h) A second item probing for the amount of management knowledge asked for the best way to get information concerning subordinates' ideas about their organization, jobs, and treatment. It would not have been surprising if many participants had replied, for example, "by using an employee opinion survey." In fact, the most common response was "Ask them," given by about a third of the

group. Some principles of "human relations" have probably diffused widely enough in the population for a small number of supervisors in any group to respond to an item like this by suggesting the use of informal discussions and other participatory mechanisms. The responses generally did not reveal any great amount of sophistication in management matters.

- (i) It was hypothesized that most participants would consider their own component the most important in criminal justice, because of an assumption that their viewpoint would tend to be narrow and self-centered. Thus, that kind of response would supply a clue to the relative prevalence and profundity of "system" thinking. The findings indicated that the group was anything but functionally parochial in viewpoint. Only five named "corrections" as their choice, and one of these questioned his own decision; this needs to be compared with the fact that 17 had checked corrections as the component in which they worked. At least 10 saw the role of the courts as crucial in the system, while to 6, all components were equal in importance, since the system could not function without each one of them. It is important to notice that the segment regarded as most important by the largest subgroup, the courts, was not represented among the participants.
- (j) "I could do a better job in my own role in criminal justice if only . . ." was an item composed to secure evidence about the extent of ideas of reference, that is, the extent to which participants tended to blame their troubles on external factors and influences. From a quarter to a third of the group mentioned their own defects of lack of knowledge, lack of skills, lack of patience, lack of initiative, and fear of not surviving in the system, but the rest did see the course of their difficulties as outside of themselves. For many, the "enemy" was the superior, the bureaucracy, lack of resources and money, lack of time and opportunity; for only very few, it was more remote, in the community or in the public. The realism of these responses is not determinable; it is entirely probable that exterior situations and forces were truly responsible for the kinds of attitude the participants had about the need for change in the system and in their own agencies. But professional workers in any field should be prepared to accept the truth that their own shortcomings add to their difficulties and, at the start, a minority of this group looked at changes in themselves first as a way of improving on the job.
- (k) The last item on the instrument was the only one intended to elicit any kind of cognitive "point-zero;" it was included for the benefit of the lecturer on the use of education in performance analysis. Because of the circumstance of the lecture, when it was given, the item was not used to retest with later, so cognitive achievement could not be appraised on this basis.

4. Source: Evaluation Instrument No. 2

This instrument consisted of two questions, each in three parts, about some of the content of lectures delivered in the management component the first day and the criminal justice component the second day. It was scored as follows:

| | | |
|---|---|----|
| 0 | - | 5 |
| 1 | - | 8 |
| 2 | - | 14 |
| 3 | - | 8 |
| 4 | - | 3 |
| 5 | - | 2 |
| 6 | - | 1 |

Average score: 2.15

There were no pretest scores to compare this result with. It did not seem to represent an acceptable level of cognitive learning, but there were too many uncontrolled elements to consider it a significant finding. The papers were submitted to the two instructors, one of whom subsequently returned them without having looked at them because of a question about the confidentiality of the evaluation process as it affected individuals.

5. Source: Evaluation Instrument No. 3

This was a "test" of what participants already knew about plea bargaining. The papers were turned over to the criminal justice team head for use in preparing his presentation on the subject. It consisted of two questions. Evaluation "graded" the tests as follows: 0 (none), 1 (7), 2 (33).

6. Source: Evaluation Instrument No. 4

This contained two questions based on criminal justice content of the first week, one on statistics and one of the causes of "case mortality." The first item was graded as answered wrong in 30 cases, right in only 11. The total grades were: 0 (1), 1 (29), 2 (11). Again, evaluation regarded this as tending to indicate less than adequate learning of ideas in the criminal justice segment. But the complaints of the participants and the Steering Committee concerning the timing and nature of the tests--they were given at the wrong hour of the day, they were just "Mickey Mouse"--and the absence of a floor for measurement purposes motivated evaluation to hold back the results, instead of providing them as "feedback" for use in considering in-process program changes. There was another reason for questioning the findings: it could not be determined whether the participants were making a satisfactory effort to answer the questions properly. (This will be discussed in the following paragraph.)

7. Source: Evaluation Instrument No. 5

This was another "test" of material drawn from both the management and criminal justice components, including in this instance, an item based on the evaluation component's program input. Against a maximum of 10 points, the following distribution of scores was achieved:

| | | | | | | | | |
|---|---|---|---|---|---|----|---|---|
| 0 | - | 1 | 5 | - | 5 | 9 | - | 4 |
| 2 | - | 1 | 6 | - | 4 | 10 | - | 1 |
| 3 | - | 2 | 7 | - | 6 | | | |
| 4 | - | 3 | 8 | - | 6 | | | |

Average: 6.2

Various rebellious comments about the tests were expressed; at the Steering Committee meeting, it was stated that the participants had discussed scrawling en masse a particular epithet on the papers and handing them in without anything else on them. Evaluation did not feel that it could afford to placetrust on the results of educational testing conducted in such circumstances, and these instruments simply were not utilized for information to help the faculty. Participants had been directed to put their names on their papers; the issue of confidentiality that this fact presented also affected this decision. One of the stated goals for the Institute was identifying potential leaders for the criminal justice field. Some faculty members questioned the possible consequences of letting the faculty see what the participants "knew" or were thinking.

8. Source: Evaluation Instrument No. 6

This was not administered until the third week and consisted of two items on plea bargaining (after the lecture on this subject) and two items included upon the insistence of the participants that they be given items designated to ascertain how they felt about the Institute. On the cognitive items, the scores were 0 (0), 1 (10), 1.5 (6), 2 (24). The "pretest" on plea bargaining, No. 3, had suggested the participants were initially knowledgeable about the topic; the results here did not indicate learning gains. On a 10-point scale, the group rated the back-home "usefulness" of the teaching sessions on plea bargaining as 5.29 - about midpoint. In a similar rating of sessions on "styles of management," the result was a group rating of 4.18, well below midpoint. Evaluation regards the latter findings as "happiness data" which tell little about the quantity or quality of learning. One may learn a great deal--while hating every bit of it!

9. Source: Evaluation Instrument No. 7

This was the last in the cognitive series and attempted to secure a reading on knowledge about the meaning and use of criminal justice statistics after a second lecture on the subject. The maximum score was set as 5. The average score of the group was 2.36. But this instrument had been handed out to be completed as "homework;" only 25 were handed in. The distribution of scores was: 0 (2), 1 (2), 2 (14), 3 (2), 4 (2), 5 (3).

10. Source: Evaluation Instrument No. 8

This was an opinionnaire constructed to obtain a reading of participants' feelings about the facilities and services of the University of Chicago after they had experienced them for a period of three weeks. (One rating scale included was on the handouts used in the program.) Ratings were taken on a 10-point scale from "awful" to "perfect." There were 36 respondents. The results follow:

| | <u>Average Rating</u> |
|---|-----------------------|
| (1) Advance information about facilities | 6.8 |
| (2) Treatment by U of C employees | 9.1 |
| (3) Room at Center for Continuing Education (CCE) | 8.3 |
| (4) Meals at CCE | 5.8 |
| (5) Meeting rooms | 7.0 |
| (6) Other CCE facilities and services | 6.5 |
| (7) Tour of U of C campus | 6.5 |
| (8) Social activities during program | 6.2 |
| (9) Assistance on various personal matters | 7.3 |
| (10) Instructional materials handed out | 7.5 |

Asked whether the Institute would have been more or less successful if it had been held within commuting distance of their homes, the participants said:

| | | |
|-------------|----|-------|
| More | 3 | (8%) |
| Less | 19 | (53%) |
| The same | 13 | (36%) |
| "Different" | 1 | (3%) |

Two-thirds of the participants volunteered suggestions for improvement of CCE facilities and services. The most prevalent suggestion was for the institution of more recreational opportunities for CCE guests.

11. Source: Evaluation Instrument No. 9

This was the last instrument employed during the first residential phase and was frankly a general opinion survey, which participants had been promised. The first ten items asked for free comments on the subjects shown below:

- (a) Liked best - Sharing or interaction with others rated highest: 18 (49% - there were 37 respondents). Seventeen (46%) named the criminal justice component or some part of it. Only 5 (14%) mentioned the management component. (Ratings exceed 100% because many respondents named several things.)

- (b) Liked least - Evaluation or some part of it, 8 (22%). Management, 7 (19%). Criminal justice (parts), 4 (11%). Other things mentioned: lack of staff preparation, length of program, length of lectures, lack of organization, omitted subject matter, political implications, lack of participation.
- (c) Was time of year convenient? Yes - 26 (72%); No - 10 (28%).
- (d) Most interesting subject - Criminal justice subjects, 33 (89%), especially correctional law, 23 (62%). Management subjects, 5 (14%).
- (e) Least interesting subject - Criminal justice subjects, 21 (57%), especially Jails, 15 (41%). Management subjects, 14 (38%). Evaluation, 3 (8%).
- (f) Should have omitted - Criminal justice subjects, 21 (57%). Management subjects, 10 (27%). Evaluation 4, (11%)
- (g) Should have included - Criminal justice subjects, 31 (84%). Management subjects, 4 (11%). Mentioned: Civil and social issues, treatment programs, communications, community-based services, work with juveniles, behavioral science, politics and strategies of change, ethics, innovative programming.
- (h) Program geared to own interests - Positive responses, 25 (71%). Negative responses, 6 (17%). Balanced responses, 4 (11%). (35 respondents)
- (i) Best speaker - Criminal justice, 36 (97%). Management, 13 (35%). Number of criminal justice speakers named: 4, 2 overwhelmingly. Management: only one speaker selected.
- (j) Least helpful speaker - Criminal justice, 12 (32%). Management, 16 (43%). Evaluation, 13 (35%). Number of speakers named: Criminal justice, 4, 1 overwhelmingly. Management, 3. Evaluation, 1.

Feelings about many matters were rated on a 10-point scale, from "awful" to "perfect," with the following results:

| | <u>Rating</u> |
|---|---------------|
| (k) Speakers and leaders as a group | 6.3 |
| (l) Program before Steering Committee sparked changes | 3.9 |
| (m) Program after Steering Committee sparked changes | 7.1 |
| (n) Learning aids | 6.8 |
| (o) Use of Steering Committee as <u>technique</u> | 6.4 |
| (p) Timing, scheduling of events | 6.1 |
| (q) Field trips | 6.9 |
| (r) Planning for Phase II work projects | 5.1 |
| (s) Evaluation methods | 4.4 |
| (t) Length of program | 4.1 |
| (u) Evening speakers only | 6.1 |

- (v) Thirty-one participants indicated they would do work projects during Phase II. Nineteen gave fairly detailed descriptions of these, 7 provided some detail about them. The other 5 merely named them. (No categorization was attempted; they were very diverse.)
- (w) Thirty-two participants said they had seen the promotional brochure for the program in advance, 5 that they had not. Thirty-three said they had read it in advance (the discrepancy was unexplained by the participant who responded "No" to one question but "Yes" to the other), 3 that they had not.
- (x) Regarding the fourth week of residence (Phase III), 11 said they saw it in the brochure and 6 others that they knew about it in advance. But 13 said they learned about it only during the first week, 3 heard about it from others, and 2 just "read about it"--one in the grant document.
- (y) Regarding the work project requirement, 11 had seen it in the brochure, 9 others knew about it in advance or "early," 12 only learned about it the first week, 4 heard about it from others, and 1 "read about it."
- (z) All participants who responded to the item (35) thought they had profited from the program, and they indicated many ways, prominently including personal contacts, changed attitudes, new perspectives (especially of the systems aspect), more self-confidence and awareness of others. Only three mentioned specific gains in the management area.
- (aa) Under "other comments" were included a mixed group of responses, including criticism, suggestions for improvement, and some expressions of appreciation.
- (bb) Twenty-one made additional recommendations for the NIC (in many instances confusing it with the Institute), including setting bounds for practice, basing it on geographical regions, involving more practitioners, minimizing the influence of politics, using it as a research agency and clearinghouse for information, and substituting a different kind of organization for it.
- (cc) Thirty-two would recommend that others attend future NIC programs and two more said "it depends." No one answered this item negatively. Various reasons were given--the goal was worthwhile, the experience useful, a look at the total picture, need for better understanding and communication, the program expected to improve, etc.

12. Source: Interviews with Participants in Residence During Phase I

Evaluators interviewed every participant during the second and third weeks, to considerable depth on certain matters. The responses can be categorized in detail, but the real value of these personal interviews was that they constituted the "true" effort of the evaluation component, planned in advance, to ascertain the impressions and feelings of those attendants at the Institute. The "opinion" items in Evaluation Instrument No. 6 and all of Instrument No. 9 were initiated to meet participants' complaints that they were not being asked their opinions, but such items are considered to have little evaluative worth. Carefully conducted "depth" interviews are much more desirable as a way to elicit bona fide attitudes and feelings. It is impossible to summarize the "flavor" of these interviews, as they were reported by the evaluators, only some of the structure of the responses to the questions asked.

- (a) Thirty-one participants said they had volunteered to attend the Institute, 5 that they had been assigned. Five said it was the result of both processes, that they had been "invited" or asked if they wanted to attend and had assented or at least "didn't resist."
- (b) The reasons why they thought they had been accepted were various, but a sizable few saw it as a matter of securing a balance among the participants, in terms of geography, type of agency, area of specialization, etc. Some saw it as a sort of reward for good programs and good work, some as a chance to represent their agencies, some as evidence that someone thought they needed more knowledge (particularly those recently promoted or assigned to new positions). One thought he was randomly selected. No idea really predominated in the group.
- (c) Each person was questioned closely about the ideas he had had about the program before he arrived, and participants' answers clearly revealed a tremendous array of different and conflicting expectations. Here are examples:

- To be consulted and participate in development of curriculum
- To participate in developing policy statements and proposals for an operational system in criminal justice
- That Institute would develop a training model for changes in criminal justice
- That Institute would be keyed toward integrating the criminal justice system
- To receive information on new techniques, methods, imaginative programming
- To be involved in the formation of and planning for the National Institute of Corrections
- That participants would consist of higher level executives only
- That the program would be more practical than theoretical

That the program would emphasize criminal justice, not management
 That the program would place heavy emphasis on management
 That Institute would deal with operational and treatment concerns, with high level intellectual presentations from staff
 That participants would be a more homogeneous group divided into small groups working on common problems
 That all criminal justice components would be represented, including courts
 A search for leadership for the NIC, fulfilling both government and educational needs
 Contact with top people, interchange with leading thinkers, exposure to sophisticated management workshop

- (d) During their attendance, participants changed their ideas about the program and many other matters. Here are summaries of some of the changes:

The group had less prerogatives than expected with regard to planning the curriculum
 The participants were looking at specifics instead of policy statements or program designs for criminal justice
 Dismayed at inordinate attention paid to the relationship between prisons and the legal profession
 Was stimulated to try to do something about what was given in the program
 Management component not sophisticated enough
 Management component attempting to apply private business techniques to corrections
 Institute very structured: a school-type training program
 Program unbalanced--too much on management skills
 Program components fragmented
 Surprised at the notion that corrections people are under-skilled in management
 Better management needed in correctional institutions
 Criminal justice component hasn't presented any information he didn't already know
 Now has better appreciation of the scope of the system
 Now more tolerant of corrections attitudes opposed to his
 Participants too quick to condemn--typical of the profession

- (e) Asked whether they had received anything they could use back home in their jobs, only half a dozen said no or were doubtful. Representative replies:

Can use sheet on management styles; MBO exercise helpful
 Emphasis on evaluation in criminal justice helpful
 Aspects of correctional law
 Contacts will be more valuable in the future than they are here.

Received assistance in evaluating own managerial style
 Experience 100% useful
 Has some new ideas, but ability to change anything is really controlled by others; is locked into the system
 Deeper insight in criminal justice and more self-confidence
 Due process discussions relevant because of changes
 Will read more, even about management matters
 Institutions must be run on an authoritative basis, not through staff discussion
 Mager's ideas (on performance analysis) helpful: a model for use with inmates
 Will put management techniques into practice if he can influence top echelon managers without getting fired
 Material on statistics helpful in building a case for his budget
 A start toward a better self-concept: who he is, how he handles staff

- (f) What did the participants want to see changed in the Institute program? Many things. Here are some.

Too long (many said two weeks is long enough)
 An honest statement of Institute purposes
 More information on how to evaluate program
 Specialize more--present controversial theories and management tools, with ways to implement them
 Have a unified, coordinated curriculum--tie the components together prior to the Institute, allowing enough time for this to happen
 Make more use of practitioners
 Less concentration on law--deal with social issues
 Match content better to participants' needs
 Broaden the outlook--Chicago and Illinois are not the whole criminal justice system
 Provide more time for interchange of participants' opinions
 Field tours are nonsense, a waste of time
 Raise level of instruction in management component and evaluation
 Don't bring in the "bosses"--thinks they are coming to evaluate the participants and their projects
 More small groups, role-playing, feedback, using videotaping
 Staff should consider participants' complaints but not satisfy the group's whims

- (g) Most participants had further recommendations to make concerning NIC, including these:

Involvements of courts necessary
 Should set standards for training, evaluation, research
 Valuable to alleviate isolation and segmentation in the criminal justice system

Pull together and share techniques, financing, experimentation

Set up on a regional basis with a general curriculum, using regional institutes to address practical problems

Act as national clearinghouse to overcome regional imbreeding

Call it the National Institute of Criminal Justice, or it will propagate separation

Needed for the development of the profession, establishment of standards, direction of the field, coordination of research

Should be place to turn for training needs and source for publications and evaluation materials

Should be administrative agency acting as a catalyst, centrally situated but minimally staffed by Department of Justice

Should deal with national issues and themes

Only the national government is willing and able to spend the amount of money necessary

Why not use NCC instead?

Should furnish guidelines but preserve the discretionary process

Might supervise state workshops--shouldn't stay totally Federal

- (h) Further probing was pursued about participants' attitudes towards the Phase II work subjects, with the same wide divergence of opinions. Here are some of them:

A good idea; why treat it so democratically as to make it a possible option because of participant resistance?

A forced exercise: staff doesn't know the participants and can't diagnose their behavior

A good idea, but wishes it had been introduced earlier and more directly

Will fail--won't produce credible work

Most useful thing to come out of the program--vital to follow through on implementing experiences

Good to go home with something constructive, in a productive vein

Idea a healthy one, but left to individuals, things will not change

Why was the alternative idea of a paper on the criminal justice system dropped? Papers are a more goal-oriented project

High-handed: cannot establish priorities for management

Coercive: should be voluntary only, undertaken on own initiative

Kind of "nothing"--should have been a group project, furthering professional cohesiveness

Personally delighted and will pursue the project
Good external motivation--the management component

in the program should have been merely a consultative body in relation to the projects

Favors it highly--was thinking of it before coming

Not crazy about the idea--the demand makes him

conscious of his own need for better, more thorough planning

- (i) "Other ideas" volunteered by the participants included:

Before future Institutes, send out a questionnaire early enough to determine participants' backgrounds.
Need for much more time in planning and resources for a program like this

Why not one week at a time, instead of three solid weeks?

Institute dealt with only American Bar Association

concerns, neglected larger issues of housing, education, etc., as causes of crime

Instead of three weeks and one week, how about two weeks and two weeks?

The outspoken dominated the proceedings

Tour with police was unforgettable, eye-opening

Devote one whole week to management and one whole week to criminal justice

The enormous wealth of ability and expertise of the

participants could have been used to greater advantage.

Institute too slanted toward adult corrections, had not enough on juveniles

Need for more diversification of participants, including courts and consumers of corrections services

Do not call the participants "executives"--it makes them feel too self-important

No need for defensiveness but a need to refocus--the system aspect the key to all

Learned something--knows more about group behavior than he did before

Learned how difficult it is to present something effective and successful

(Several comments expressive of appreciation of various things)

13. Source: Interviews with Faculty Members During Phase I

The planned 100% interviewing of all participants was carried out in its entirety. The counterpart of this was the intention to interview 100% of the faculty during the same period, but it could not be accomplished. Some of the guest speakers arrived just before their scheduled times on the program and left immediately afterward. Some of the regular on-campus faculty members were so occupied with their duties in connection with the

Institute program or other matters that there were no points in time at which it was feasible to interrupt them for interviews. No instances of actual unwillingness to be interviewed were noted, although one criminal justice instructor could be "interviewed" only by mail because at the times that he was not attending the Institute, he was not in his office. (The month being July, he was technically "on vacation.")

In all, 11 instructors were interviewed, partially or in depth. Five of them represented the criminal justice component, but one of these interviews was interrupted or could not be renewed and two were evening speakers who knew too little about the structure of the program for their views to be useful for the purposes of evaluation. Therefore, all that could be obtained from three of the five concerned the "objectives" of their presentations. Of the remaining two interviews, one was the mailed interview already mentioned and the last was an interview with a guest daytime speaker who was not present when the program was planned. As a consequence, not one adequate interview with a member of the criminal justice team was obtained.

The evaluator completed interviews with four members of the management component team, one administrative staff member, and the head of the evaluation component. Data from the last were excluded from this report because of the working relations between the members of the evaluation team. Information from the mailed interview and the other five have not been reported under background or program data; because of their concern with the participants, they are summarized here instead. However, due to the profound bias caused by the absence of effective representation of all the components, not much weight could be placed on this category of evidence. It is significant mainly in showing how the badly-criticized management team viewed the program and itself amid the vicissitudes it encountered.

Criminal justice - As stated, in four instances, the evaluator was able to obtain some information only about the objectives the speakers had set for themselves. These were typically "instructor" purposes, not measurable behavior changes in participants. The mailed interview conveyed the information that instructor who responded was simply "asked to prepare materials for two two-hour sessions on my topic at a level of intellectual maturity appropriate to a group of middle and upper level correctional executives." He felt that the range of sophistication in the group was very broad, noted the absence of judges and prosecutors, and felt that things were going "as expected." (This was during the first week.) He was sharply aware of the significance of lack of baseline data about what the participants knew concerning his areas of input but offered questions for use in evaluation instruments covering his presentations. The guest speaker was interviewed after the midpoint in the program. It was his impression that the participants were more receptive than similar audiences in his own state; on the whole, he was well pleased and felt he had been able to meet his own instructional objectives. He sensed that there was an "uncertainty" about the small groups; he was concerned about how "aware" they were and feared that the timing of the small group discussions could be a factor adversely affecting activities planned by the faculty, although he had not

changed any of his own plans as a result of them. His suggestion for "tangible evidence" of the success of his efforts was not determinable: "Do they go back and review their regulations in terms of their specificity, with regard to the avoidance of law suits?"

Management - Two management instructors were interviewed before the "revolution" wrought by the Steering Committee, two after it. During the first week, management team members saw the conceptual and process framework as cumulatively developing, but in a situation exacerbated by factors in the participants, such as their presence as members of a system which was not a system. They were not comfortable with the two-component format and regretted that the faculty members of one component criminal justice did not stay around for the sessions of the other (management). They were concerned about the omission of subject-matter that occurred when the Steering Committee preempted a management session to meet with the participants; one saw this meeting as possibly "indicative of conflict with authority and unionization." Both identified factors adversely affecting planned activities as existing more in the faculty than in the participants: the lack of integration between the components, the way teaching methods were being utilized, and apparent faculty attitudes toward the evaluation process. They saw the participants as an atypical group who should have been exposed to a problem-workshop approach, with groups working on current "real content" issues. The participants identified themselves as "specialists," rather than as managers, so as managers "they are very defensive, inferiority-oriented, and expert at denial." To one, the participants seemed "social-workerish," not "political reality-oriented." They did not see the field trips as "education," because of lack of appropriate preparation of the participants concerning them.

After the part of the program originally offered by the management component was changed, the other two management instructors interviewed differed quite noticeably from the first two and with each other. One felt the criminal justice team had been successful in reaching its objectives and the evaluation team in collecting its data, but the management team had been frustrated by the reluctance of the participants to work on problems existing in their own organizations. The Steering Committee worked effectively as a group, but the total group had not achieved the degree of cohesion desired. The other perceived the change as one in objectives, involving partial abandonment of the original objectives because they were meaningless, but he was concerned about the value of the new objectives in terms of their long-range usefulness. They tended to agree on the factors adversely affecting the planned activities: not enough lead-time, inadequate integration of the components (particularly, the failure of the criminal justice faculty to attend any of the management sessions), and the size of the group. To one, the group was too heterogeneous in its background and sophistication in management, but too homogeneous in representing only a segment of the full criminal justice system; he also felt the timing of the program was at fault in not allowing two or three days for the "group process" to develop. The other felt that the Steering Committee should have been selected and involved in the planning

before the program. Thus, one saw the participants as too defensive and unwilling to examine their own behavior and organizations, the other saw them as too unrepresentative. The first felt that management had sacrificed too much, criminal justice too little, to the realities of the situation; the second, that the lack of lead-time was the basic cause of all the problems. One felt the changes had kept the group from fragmenting and disintegrating but made the problem of coordinating activities more "hairy." The other said he had tried to be responsive but had not been correctly informed about the nature of the problem, though he was glad to see the Steering Committee take a strong role and assume responsibility for the program, even if there had been an over-reaction to its demands.

Finally, the staff member, interviewed after the changes, rated the effectiveness of the program in meeting its general objectives quite high. The input by the participants had improved. He was critical of the criminal justice component's failure to stimulate a high degree of interaction in the group by stopping its speakers from lecturing after a reasonable time. The desired amount of coordination between the components had broken down; he felt that the management component had been most responsive of the three to the need for coordination. He scored the lack of preparation time and of opportunity in the program for individualized learning and free time. He saw the biggest adverse factor being the false assumptions of all the components: of criminal justice, that the program would attract people who were of high caliber yet would lack cognition in some areas; of management, that every audience would be willing to follow its process; of evaluation, that the expected component leader would turn up to lend the support that the professor who was preparing to leave for Australia could not. The amount of "didactic stuff" in the program was altogether unexpected. He saw the Steering Committee as acting on many levels to bring the program back to the one that was originally proposed. He credited the formative evaluation function and its feedback as enabling the staff to alter plans for the field trips to make them more optional and to accomplish other changes that were needed.

14. Source: Phase II Evaluation Questionnaire

The form was mailed to all 41 Phase I participants and was completed and returned by 27 (69%) of them. No selected factor tending to separate the respondents and non-respondents could be identified; those non-respondents subsequently interviewed claimed they had not received the forms or said they had lacked the time to fill them out. The percentages shown below were calculated on the basis of 27 returns.

- (a) Four (15%) of the group were serving under different supervisors than they had three months previously; 3, because they had changed positions, although none had changed agencies--for one of these, attendance at the Institute was the catalyst for the change.

- (b) Participants were asked whether they would then (in October) rate various features of the Institute as better, poorer, or the same as they did at the end of the program, with the following results:

| <u>Item</u> | <u>Better</u> | <u>Same</u> | <u>Poorer</u> |
|-------------------------------|---------------|-------------|---------------|
| Criminal justice content | 3 | 23 | 1 |
| Management content | 3 | 23 | 1 |
| Evaluation content | 0 | 24 | 3 |
| Methods employed in program | 1 | 23 | 3 |
| Scheduling-Month (July) | 1 | 24 | 2 |
| Scheduling-Length (3 weeks) | 0 | 23 | 4 |
| Scheduling-Location (Chicago) | 2 | 23 | 2 |
| Criminal justice faculty | 6 | 19 | 2 |
| Management faculty | 3 | 22 | 2 |
| Evaluation faculty | 1 | 24 | 2 |
| Outside speakers | 2 | 22 | 3 |
| Field trips | 4 | 22 | 1 |
| Evaluation procedures | 1 | 20 | 6 |
| Study materials and handouts | 3 | 24 | 0 |
| Program scheduling | 1 | 23 | 3 |
| Recreational opportunities | 1 | 20 | 6 |
| Results achieved | 8 | 19 | 0 |
| | 40 (9%) | 378 (82%) | 41 (9%) |

Since the shifts of opinion upward and downward balanced each other, no statistical test of the significance of these changes was made. The shift toward a better opinion of the results of the program (last item), amounting to about 30%, was expected; such a shift is normal after some time has elapsed following an adult educational experience. Excluding the results achieved, there was a slight tendency to downgrade specific features of the program: 41 "poorers" versus only 32 "betters." But this difference was so small by comparison with the large number of those whose views had not changed that it shrinks to a couple of per cent of the total. Inspection of the forms returned shows that most of the shifts were grouped, not dispersed--that is, several participants generally downgraded various features of the program upon reflection without seeing anything in a better light, and several others regarded a number of the features more favorably and none as poorer. By far the most rated everything as "same."

- (c) A question soliciting any new ideas about NIC was left unanswered or elicited the response "No" from most. Several still confused the Institute program with NIC but recommended nothing new. One proposed an "interim communication system." The item was non-productive.
- (d) A crucial question to evaluation was the amount of "transfer" of learning that had occurred. Participants were asked (1) if they could site specific instances of positive or negative consequences

of their attendance at the Institute and, more particularly, if they could cite instances of on-the-job application of (2) certain criminal justice component material and (3) certain management component material. The results follow:

- (1) Seventeen (63%) responded that they could cite specific instances of results; 10 (37%), that they could not. But few of the affirmative responses actually cited instances, although the respondents were asked to do so. Most replies were worded only in general terms. Five (19%) provided information about instances, including helping a department work out revocation procedures and discipline based on equitable inmate rights, participation in a statewide training program, preparation of an inmate handbook outlining grievance and discipline; and use of material learned in Federal court suits and staff meetings and training sessions. Several others (3) referred to progress on their work projects. The general replies were of the types, "I am now more aware of . . .," "I am now more confident in . . .," "I now understand better . . .," "I have used the material on . . .," and "I expect to (do something with material learned when specified situations arise) . . ."
- (2) Nineteen (70%) replied that they were better able to evaluate information, including statistics, in the criminal justice field. Eight (30%) furnished examples that were deemed reasonably specific, like having discussed recidivism at a staff meeting, made input into a reorganization of juvenile probation and aftercare services, evaluated the effectiveness of drug programs, utilized the principle of "the least drastic alternative" in an actual court case, spoken before public and professional groups, and instructed a class of police and corrections officers. The remaining 11 who responded affirmatively did not explain or gave only general explanations similar to the types summarized above.
- (3) Sixteen (59%) felt they were better able to evaluate their own proficiency as managers. Only three (11%) supplied reasonably specific answers to the item. The examples all dealt with use of material in staff meetings and training courses, not with evaluating "own" proficiency. The wording of the item was probably the chief cause of this not-on-target set of responses, but the probability of persisting general vagueness about management concepts and practices as a whole, which characterized the participant group from the start, cannot be discarded. Most replies were couched in the same diffuse type of wording noted in (1) and (2).

- (e) Considerable evidence--some of it summarized previously here--was collected during Phase I indicating that, despite three presentations to the group on the evaluation techniques being used at the Institute, many participants insisted on regarding the employment of the paper-and-pencil instruments as the only evaluation mechanism in effect. To test the validity of this inference, the questionnaire asked participants to identify the various mechanisms of evaluation that were utilized.

The list furnished in the questionnaire included twelve "mechanisms" that were used, three that were not. Of the 25 who responded to the item, the average participant correctly identified 6.3 (about half) of the evaluation techniques that were used and "identified" the use of at least one technique among the three listed that were not used.

The list and the responses to it are summarized below. The starred terms designate mechanisms not employed (and in one instance publicly disavowed) by the evaluation team.

| <u>Mechanism named</u> | <u>Number who identified its use</u> |
|---|--|
| (1) The Steering Committee | 18.0 (72%) |
| (2) Advice to faculty and staff | 16.0 (64%) |
| (3) Plan for work project diary | 7.5 (30%) |
| (4) Accumulation of psychological data* | 13.0 (52%) |
| (5) Field trips to participants' agencies | 11.0 (44%) |
| (6) Lecture and discussion on performance analysis | 5.0 (20%) |
| (7) Pass-fail scores on individuals* | 4.5 (18%) |
| (8) The content recorder | 14.0 (56%) |
| (9) Determination of faculty and participant objectives | 6.0 (24%) |
| (10) Pencil-and-paper subject-matter tests | 18.0 (72%) |
| (11) The process observer | 17.0 (68%) |
| (12) In-depth interviews of faculty | 9.5 (38%) |
| (13) Mailed questionnaires | 18.0 (72%) |
| (14) Accumulation of detailed statistics* | 13.0 (52%) |
| (15) In-depth interviews of participants | 18.0 (72%) |

Responses which reflected a question or uncertainty were scored .5, which accounts for the decimals reported above. Lines 2, 5, 9, and 12 refer to activities that could not have been witnessed by the participants, but all the procedures employed were announced to the group and were covered in the copies of the grant document which were distributed. Line 6 did not refer to an evaluation "mechanism" but to a contribution to the program by the evaluation component. It is probable that participants confused the evaluation techniques used at the Institute and those discussed by the management and criminal justice components; that may explain the results shown in Lines 4 and 14, for example. (Also, the systems-impact evaluator

employed instruments containing items which could have been interpreted as seeking "psychological data" and, indeed, some participants may have regarded items about attitudes in several of the educational evaluation instruments as "psychological." For these reasons, the figures on Line 4 must be regarded as not meaningful.)

(f) The establishment of a Participant Steering Committee was a key element in the evaluation component's plan for formative evaluation feedback. Nevertheless, the "steering committee technique" is one long employed by the University of Chicago's Industrial Relations Center staff; thus, the management component cooperated with the evaluation component in setting up the Steering Committee at the Institute. Participant's opinions about the Steering Committee's mode of operations and effectiveness played an important role in the events of the Institute, and the questionnaire included an item designed to explore that matter.

(1) Of 26 respondents to the item, 7 (27%) saw evaluation as chiefly responsible for establishing the Committee; 5 (19%) saw management as the initiator; 1 (4%) saw them both as in that role. These 13 responses--just half--can be regarded as "correctly focussed." Five (19%) said that "faculty" and/or "staff" had set up the Committee. Four (15%) saw the participants as in some way responsible: not unreasonable, since the participants elected the Committee's members. Two (8%) saw the Steering Committee as the child of the Planning Committee, instead of the reverse (or perhaps by "Planning Committee" they meant whatever group originally designed the Institute). One said, none of these, and one did not know.

(2) Judgments of the effectiveness of the Steering Committee ranged all the way from "ineffective" and "minimally useful" to "quite effective," with the general trend of the opinions only moderately if at all on the favorable side. Some did not rate the Committee's effectiveness but specified what they felt the Committee had been effective in doing. Representative comments:

A biased mechanism for aggregating participant input
 Doubtful representation, insufficient feedback
 Changed focus and role of Institute
 Effective at first, then dealt with its own differences, not the issues
 Some meaningful input, some blowing of horns
 Sometimes gave attention to the most verbal, not the opinion of the majority

CONTINUED

1 OF 3

Very effective as a grievance committee;
 results slow, as a change agent
 Got evaluative feedback from the participant point of view to the staff
 We would have been better off without one
 A much desired and needed intermediate between the staff and participants
 Done too soon--before individuals were known well enough to one another
 Had difficulty representing the entire group but efficiently stated the problem
 Made the staff aware of thoughts and needs of participants but developed factions among the participants and staff
 A necessary process to facilitate information exchange
 Did not represent views they did not share

- (3) From the preceding, it is clear that the participants perceived the Steering Committee in an ambivalent light. Observers at meetings of the Steering Committee reported that its members repeatedly questioned their own role. The Committee's seemingly sudden announcement of the formation of an auxiliary group, composed of three other participants, to advise the faculty on making program changes was unexpected and surprising. There were not many precedents for this kind of strategy in the memories and experience of the educators associated with the Institute. The justification of the move and the value of proceeding in that manner was unclear in the minds of many, including some of the Steering Committee members, as indicated by the discussion about it which occurred at its last meeting in Phase I. Evaluation asked the participants in the questionnaire what they thought had led to the establishment of the Planning Committee.

Some saw the true cause as the "intransigence" of the faculty, the inability or unwillingness of the three components to get together in a meaningful fashion. Others saw the source of the idea in the internal struggles within the Steering Committee, associated with time pressures, fatigue, and frustration. Among the reasons given were:

- To modify the program to meet objections, criticisms, needs, and expectations of the participants
- The Steering Committee was deadlocked 2-to-2 on most issues, lessening its impact on the faculty

The group's recognition that the Steering Committee needed help
 A power struggle between participants and faculty; the impetus was in the need of some for recognition
 Vast differences between the levels of competency among the participants and assumed by the faculty
 The need for faster decision making
 A feeling that the faculty were attempting to manipulate and neutralize Steering Committee members individually
 The Steering Committee "increased the volume"
 Stubborn bureaucratic styles and defensive attitudes of certain faculty, creating anxiety in the participants who were demanding a voice in the direction of the program
 Suspicion of the Steering Committee and a drive for purity of responsibility
 The necessity to meet more often with the staff to modify the curriculum
 The group process--a natural turn of events
 Was not aware that the Steering Committee had a Planning Subcommittee
 Did not exist in the design or reality--sought to help arbitrate and were available
 Pressure of participants dissatisfied with presentations and content, forcing efforts for relevance

- (g) Looking ahead toward Phase III, the participants were asked what still unmet educational needs could be served by the program in the fourth week. Representative answers:

More diversified knowledge of criminal justice system practices
 More on good correctional techniques and models
 More that is relevant to adult institution management
 Content related to treatment modalities
 Closer interrelationship among the program's three components
 More on measurement in the criminal justice system
 The politics of selling criminal justice programs
 Actual methodology in the evaluative functions of management
 Changing trends in juvenile procedure
 More personalized or focussed management training
 Establishment of formal legal procedures to promote criminal justice system interaction

Specific information about community-based treatment, using effective practitioners to present it
 Evaluative systems, criteria, and methods; research and results
 More on parole matters, human judgment, and the decision making process
 Strategy for change

- (h) Twenty-five participants said they would cooperate with a visitor on an evaluation field trip; none said they would not. As to what might make such a visit most worthwhile for the participant, the usual disparity of opinions was expressed, among them:

Insights about management practices
 Appraisal of techniques used in connection with the work projects
 Assessment of his work situation; evaluation of his operation
 Sharing of information regarding the Institute
 Information or advice to help him perform his job more efficiently and effectively
 To actually see program performance evaluative measures
 Help him develop an instrument to evaluate the effects of his project
 Help in obtaining money for his project
 Finding out what the others are now doing
 Additional expertise to assist him in establishing a model training program for his department

Several stated realistically, "It depends on the purpose of the visit."

- (i) Answers to the preceding item obviously supplied some ideas concerning what participants might expect from evaluators visiting them in their agencies. More directly, participants were asked what they expected or preferred the visitors to ask, indeed what questions it would be important for the participants that they ask. At this point in time, the model for the evaluation field trips was still flexible, and the team was sensitive to the demand of the participants that they have a voice in decisions to be made. A field trip to a participant that would consume part of his time dealing only with matters which he would not regard as worth spending it for would be undesirable. Respondents mentioned, among other things:

Physical plant, organizational structure, context and delivery of service
 Institute impacts on work and organization
 Various aspects of the work projects--who, what, when, where, why, how

Institute experiences and programs and changes since
 How the agency serves the community and criminal
 justice
 How we make decisions and function in the criminal
 justice system
 Changes in the operation of the department and his
 management style
 Fourth week inputs (but one wanted to avoid questions
 about this)
 The direction of NIC and improvement of future
 institutes
 Find out what he is really doing

The area mentioned more than any other was the work project. Several wanted the visitor to speak to superiors and subordinates or to sit down with them and plan the evaluation jointly. ("All should be open," said one.)

- (j) A quick tally on the status of work on the projects indicated the following: Of 25 respondents, none so far had completed the project, either successfully or unsuccessfully. Sixteen (64%) had commenced work on their projects, which were still going on. Five (20%) had not started projects. The remaining 4 (16%) had started projects and abandoned them, for different reasons. One had been denied the necessary funds; one had changed positions; one project proved impractical because employees were being laid off; one gave no explanation.
- (k) Finally, participants were asked if they had had occasion to utilize any of the contacts they had made at the Institute. Eleven of 24 (46%) had had no contacts or only cursory ones. Nine (37.5%) mentioned contacts with NIC. Seven (29%) reported instances of contacts for specific purposes with other participants. Four (17%) said there had been a contact with Institute faculty members or with the University of Chicago. Several indicated that they had had multiple contacts. The purposes of of such contacts included getting project advice and support, sending material to other participants, securing information from other participants, seeking assistance on departmental matters from NIC, assisting other participants in their programs, securing faculty members as speakers, informal communication and correspondence.

15. Source: Phase II Participant Interviews

Although the evaluation design was not a tightly controlled one, randomization of the selection of 25% of the participants to be visited at their agencies served three purposes: (a) it provided a practical way to make the selections; (b) it assured that the selections would be made fairly; and (c) it did tend to narrow the effects of biasing factors. Using a table of random numbers, 15 names were chosen. Of these, 6 were eventually dropped.

Three others, not picked at random, were added. Of the six who were dropped, two did not respond to advance correspondence about the visit, and one was not able to make suitable arrangements for it at the proposed time. One was considered inappropriate to visit because he attended the Institute as an employee of the funding agency. One had requested a visit by the systems impact evaluator, and his name was referred to that person, in order to avoid duplicate travel. Finally, one was dropped when the evaluator's travel to get to him for the visit was halted by a heavy snowstorm at an intermediate city. One substitution was made on the spot at that city, because another participant who lived nearby consented to be interviewed while the evaluator was there. The other two substitutions were of participants who had previously requested evaluation team members to visit them at their agencies. The total number of field visits by educational evaluators was 12. After one of these was interviewed, the evaluator's interview notes were lost. Thus, the final sample of participants reported on here consisted of 11 (27%).

The sample consisted of ten males and one female. (Two females were visited; the one dropped from the sample after interviews was female.) Eight states were represented: Illinois (3), New York (2), Colorado, Kansas, Michigan, Missouri, Vermont, and Wisconsin. Two were members of the Steering Committee, one of the Planning Committee. All factors considered together, it is believed that the sample was fairly typical of the participant group.

Originally, the field trips were viewed as an important check on what participants were doing on their work projects during Phase II. Because of difficulty in distinguishing "educational impacts" and "systems impacts," work projects were assigned to the systems impact evaluator to investigate, and the educational team set itself to (a) verify the validity of the responses on the returned questionnaires and (b) obtain additional information about participants' thinking concerning the program for the fourth week. In accordance with this decision, the basic structure of the interview schedule was very similar to the questionnaire format, although the interviewers probed for additional information and opinions. Five of the 11 had not returned completed questionnaires, so for 45% of the sample, the information gained through the field interviews was fresh additional data.

In general, the information gleaned in the interviews with those who had returned questionnaires agreed closely enough with their mailed responses that the reliability of the mailed instrument is regarded as substantiated. Discrepancies will not be reported or analyzed here; they can be explained in general as resulting from the greater clarification of the meaning of written questions and replies obtained in face-to-face communication. These points had some significance:

- (a) A considerable part of the sample had gained in appreciation of the management component's contribution to the program.

- (b) Concurrently, the sample tended to be slightly more critical of the criminal justice component of the program.
- (c) Two (nearly 20% of the sample) claimed that they had not received the questionnaire form.
- (d) The picture of the 2-to-2 split within the five-member Steering Committee, with the deciding member frequently absent from its deliberations, and its recourse to establishing a Planning Committee as a "way out" of its indecisive stance was clarified, broadened, and strengthened.
- (e) Prospective political interference possibly threatening systems gains in their states loomed large in the minds of several participants (who were visited shortly after the November election).
- (f) At least one participant downrated the evaluation "mechanisms" because he couldn't see how to use any of them with reference to himself--e.g., how to use them to better judge his own proficiency as a manager. (This and related responses from other participants in the various source documents and records suggest that participant expectations of the evaluation component's role in the Institute varied considerably from the way the component viewed itself and the role it was assigned during the preliminary planning.)
- (g) The interviews alleviated some of the concern on the part of the faculty that participants might not be working seriously on their work projects. Ten of the 11 reported making progress; one who had been ordered to "scrap" his project said he was going to try again.
- (h) Only one expressed any uneasiness about returning for the fourth week program.

By way of a general summary, although the participants interviewed during Phase II made many more points than are indicated above, most of the ideas they expressed either duplicated points already made in previous interviews and written responses to evaluation instruments or added nothing signally new or different to what has been reported above. If they were indeed collectively representative of the total participant group, it can be inferred that at this point in time the total group remained substantially ambivalent about the Institute, the effectiveness of the Steering Committee, the educational institution, and the separate program components. Lack of integration of the components and of use of practitioners as resources, excessive legalistic emphasis in presentations and the ambiguous role of the Federal government in the NIC continued to be scored. (A possible major value of the field trips turned out to be just the renewal of personal contact with the Institute staff during the long Phase II interval. Neither of the two visitors perceived any evidence of suspicion; they were greeted warmly and treated hospitably at almost every location they visited.)

16. Source: Submission and Rating of Work Projects

Thirty-nine participants attended the fourth week of the Institute. Twenty-three reports on work projects were submitted, one by a participant who did not attend. Thus, the submission rate was 59% based on either the actual attendance, which included two persons who had not been part of the original group, or on the original 41, excluding the two NIC and LEAA observers. However, the "effective" rate of submission was 63% based on the receipt of 22 reports from the 35 of the original group who attended and were expected to submit reports. Of the 13 reports not accounted for from that group, one may have been submitted but went astray in the reviewing process. Seven participants who had promised to undertake work projects did not report on them; five others who did not submit reports had not promised to do work projects. On the other hand, reports were received from six participants who had not--at the close of Phase I--said that they intended to undertake them. Two participants worked together on the same project, which they reported jointly. The titles of almost all the projects submitted by those who had previously proposed to do them were sufficiently similar to the titles actually reported to lead to the inference that most participants undertook the projects they had planned and did not shift to others in the course of Phase II.

The projects were rated in two different ways by members of the management component faculty. First, they were judged for selection for discussion in the fourth week program on the basis of four criteria: (A) How manageable is the work project for discussion purposes? (B) Does the project fall into a primary interest area? (C) Does the project diary manifest work quality? (D) Did the project result in some "success"? Then, on request by evaluation, they were rated for quality on a four-category scale, as follows:

- (1) Concrete Achievement--evidenced by implementation of program itself, in full or in part.
- (2) Some Achievement--evidenced by activity and some evidence of progress, such as writing grant proposal, holding initial meetings, etc. With additional time, projects at this level can reasonably be expected to move into Category 1.
- (3) Little Achievement--evidence of activity and effort, but little evidence of success--e.g., preparing plan which is rejected by organization.
- (4) No Report--no written report.

Evaluation converted the ratings into a numerical scale, with the results shown, as follows:

| Rating Category | Numerical Rating | No. of Participants Earning the Rating |
|-----------------|------------------|--|
| 1 | 3 | 13 (35%) |
| 2 | 2 | 7 (19%) |
| 3 | 1 | 4 (11%) |
| 4 | 0 | 13 (35%) |

It can be seen that more than half of the reports submitted were judged as representing "concrete achievement" and over half of the total number of participants met the "some achievement" level. Two thirds made an apparent effort, and probably less than one third did not participate in some way in this program requirement.

17. Source: Interviews with Participants During Phase III

Several remaining questions about the work projects were answered by another round of direct interviews with the participants during the fourth week. The two federal representatives were not included; of the rest (37), only one participant missed being questioned. (The two Phase III-only participants were questioned about their reactions to the program; their responses will be summarized in 19, below.)

Thirty-four participants were asked three questions about their experiences with the projects, with the following results:

- (a) They were questioned to elicit details about project completion or noncompletion. Twenty-two (65%) said they had submitted reports; this did not agree in all respects with the figures reported above, but two who were not interviewed (one absentee) did submit reports and one claimed submission, though his report could not be located.

- (1) The 12 who said they had not submitted reports were asked, in effect, why not. Summarized replies:

Did not start - project keyed to a team study, and he was "outmaneuvered"
 Did not start, because of lack of time (3 responses)
 Did not report, but project is underway
 He changed jobs, and his new position has made too many varied demands on him
 Found whole idea not helpful--was apathetic about the concept of a project
 Did not report, but he finished the project
 He developed a recruitment project, but his agency was laying people off--asked the Institute faculty for help on a new project but received none
 "Had to do it" (Meaning of this comment not clear)

Not a useful exercise, just to make work--his job is to develop projects
 Began preliminary project, but the money was withdrawn

- (2) The rest were questioned for details about what they had done. These comments were typical of the responses:

Project was formulated for proposal purposes but is in limbo
 Completed his role in one project and started on another as an outgrowth of the first one
 Project is ongoing, but use of a case study would have been more helpful
 Ongoing, but if money is not forthcoming, will have to cut back drastically
 Finished, in the sense that he is on a new assignment, but is using the same principles and applying them to new tasks
 In operation since January--5 kinds of training procedures in various stages of being set up
 Finished--agency needed it (court had mandated it), had competent people to work with and cooperation of his superiors
 Under way--locked in till only June 30, but designed to be self-perpetuating
 Completed, because of agency's need for it. It has an ongoing nature
 Made him look for proactive instead of reactive policies--didn't encounter any difficulties
 Halfway through, depending on time and amount of difficulty
 Specific agency training completed, but continuing in satellite form

- (b) It was possible that participants did not undertake anything new but, under pressure to submit diaries on Phase II accomplishments, merely reported about ongoing work. They were asked, "Would you have undertaken this project if you had never attended the Institute?" Only two answered "No," and three were doubtful or not sure. The remaining 29 (85%) would have initiated their projects, or at least considered initiating them, without regard to attendance at the Institute. A few actually had started the projects they reported before they came to the Institute the first time.

However, before concluding that the Institute experience failed to produce what was planned to become one of its primary evidences of success, a set of projects intended to bring about change in participants' agencies, proper weight has to be placed on participant assertions that the Institute supplied impetus to start or continue, know-how, materials and skills, and

confidence that enabled them to make progress or, in some cases, to complete the projects successfully. The preponderance of statements to that effect leads to the conclusion that the weight must be considerable. Here are some of the comments to support this finding:

Something here crystallized a way to solve a problem he previously had
 Idea did not come from here; he wasn't sure how to implement it, but the work project diary gave him the tool he needed
 Acquired information and understandings that she applied in the project work after returning to her agency
 It was in his mind before he came, but the Institute helped him see how to resolve the problem
 Had planned to tackle the problem before but didn't know how
 Planned for it for three years but hadn't initiated it before
 Had thought about it, but the Institute provided the catalyst to begin
 Had recognized the need to do it, but the Institute gave him some impetus
 Probably wouldn't have done it the same way and his success wouldn't have been so great
 Institute provided necessary motivation to do a project already identified as worthwhile and necessary
 Institute changed her priorities, helped her to do it sooner and more effectively
 Having to submit it caused her to think it through and document the steps--that requirement was helpful
 Institute provided necessary material essential to this project
 Had idea for years, but set it down, formulated it, and actually wrote it, starting here
 Hadn't got around to it, but discussed it at a staff meeting as soon as he returned to his agency

(c) Participants were asked for examples of anything taught during the first three weeks that they actually used in the project. Among the items mentioned were:

- The Johari window
- The MBO workbook
- Leadership styles and job profiles
- Involvement of staff in decision making
- The presentation on due process
- How to set more precise objectives
- Stress on participatory management
- Reading materials on plea bargaining, etc.
- Appreciation of legal issues; programming design
- Chart for anticipating steps and possible dead ends on way to determined goal
- Development of job descriptions
- Keeping, using, and evaluating research materials and statistics.

As in reply to previous requests for specific instances, a great many answered in nonspecific terms: management techniques and forms, broader outlook, more information about criminal justice field, reinforcement of knowledge and understandings, "people from here," reading materials, need to plan carefully, etc. A vast majority of the responses stressed use of management component input and materials, as compared with criminal justice contributions, but this is probably attributable to the fact that carrying out the work project required the exercise of management skills and techniques in all cases, but the application of new criminal justice knowledge in only some cases. Very few replied to this item "nothing in particular" or "nothing really specific." Although in the form of self-reports, the answers to this item supplied further evidence of the presence of cognitive gain in the program that carried over into practice.

18. Source: "Fourth Week" Evaluation Instrument

Instructional objectives for the fourth week were implicit, except for the general statements the program coordinator sent out to the resource people by letter, as previously indicated. The agenda for the week, developed by the Steering Committee in meetings with the staff and faculty in December, provided no time in the body of the program for completion of evaluation instruments. It seemed to be worthwhile to determine whether the "happiness index" of the participants would change significantly during part of the program planned mainly by participants through their representatives, taking their views expressed in several forms, including the formative evaluation feedback, into account, and staffed to a considerable extent by participants. For these three reasons, evaluation developed a form which could be used by participants on an optional basis, and every participant received a supply of them when he registered on his return to the University. These forms could be filled out for an individual session, a whole day or any other time period, in whole or any part, and be signed or left unsigned. In other words, filling out the forms was a purely voluntary act by the participants. No one asked them to turn them in; a box was provided to drop them into when anyone was so inclined.

What happened was that 29 participants who signed their sheets turned in an average of 10 forms per person during the week. In addition, 41 more forms were submitted unsigned, for a total of 330 separate participant evaluation. Thus, over 90% of those present freely engaged in this activity. We think this tended to show a high level of sustained commitment by all the participants to the goals of the final week of the program.

In the following paragraphs, the data on these forms will be reported for each session. The five figures at the beginning of each paragraph will represent the following data:

- (1) The number of evaluation forms submitted for the session.
- (2) Participants' average rating, on an 8-point numerical scale, of the quality of what was communicated in the session
- (3) A similar rating of how well the speaker communicated
- (4) A similar rating of how useful the material rated was to the rater's work
- (5) A similar rating of "the fourth week taken all together" up to the point in time of that session (i.e., this was a cumulative rating occurring progressively throughout the week)

Finally, summaries of typical comments will be provided to illustrate the "flavor" of participants' attitudes as the week's activities unfolded.

(a) Monday, March 12, morning sessions

Plenary session: presentation

(1) 24 (2) 5.9 (3) 6.5 (4) 5.7 (5) 5.6

Concept of greatest interest: crime-specific planning, political considerations, need for data, communication of plans, process of funding.

Use in own work: information checkpoints, alternatives to police discretion, satellite offices, budget planning

Comparisons and changes desired: interesting, far less didactic, very good, better, improved, more related to needs, better organized and relevant. Liked: seeing people, format, variety of subject matter, plans for the week. Disliked: peers' attitudes

Other comments: will have trouble implementing. Too few activities measured for impact
Treatment methods? Politics of change?

Response to speaker (6 people rated this on separate sheets)

(1) 6 (2) 2.9 (3) 2.2 (4) 3.2 (5) 5.2

Concept of interest: representation of wishes of people

Comments: program O.K.--responder a flop.

Workshops

Community

relations: (1) 3 (2) 5 (3) 4 (4) 5.3 (5) 4.7

Negotiations: (1) 6 (2) 5.5 (3) 6.2 (4) 6 (5) 5.8

Violence &

riots: (1) 6 (2) 6.3 (3) 6.2 (4) 6.2 (5) 5.5

Ethics: (1) 6 (2) 6.4 (3) 6.8 (4) 5.6 (5) 6.6

Concept of greatest interest: involvement of community and criminal justice component in programs. Protection of integrity of negotiations from manipulation; merits of inmate complaints; new areas of inmate litigation; politics in negotiations; planning for negotiations; "give and take, but retain control." Timely, meaningful response to inmates; no single, permanent solution to violence; inmate as member of management; client participation. Ethical aspects of responsibilities and decision; the "right" to treat

Use in own work: increase in coordination with other components' staffs. No unilateral action unless responsibility is spelled out; needless jeopardizing of programs and reputation. Inmates must have an audience; advisory boards, using citizens and former offenders. Greater sensitivity to ethics; job changes for those displaying the "Peter Principle"

Comparisons and changes desired: more direction from start, easier to get into, less didactic, participation much improved, better, better structured, more specialized. Provide outlines of topics or questions; more time in workshops. Liked: definite starting points, non-rushed feeling, group participation, attitude of staff and participants, honesty and candor of resource people, relaxed attitude, time sequences. Disliked: talk about "back home" problems, discussion time cut short

Other comments: participants dismiss as irrelevant content not related to own operations. Ex-offender gave added dimension, so discussion more real. (Various substantive comments and questions)

(b) Monday, March 12, afternoon session

Plenary session: presentation

(1) 26* (2) 5.7 (3) 6.1 (4) 5.8 (5) 5.7

(*One provided an evaluation for the entire day's activities)

Concept of greatest interest: credibility of ex-offenders teaching, consulting, working; utilization of ex-offenders with full acceptance and responsibilities; detailed training outline for paraprofessionals; availability of an unused resource to increase agency effectiveness and accomplish treatment; utilization as means toward resocialization of former offenders; creation of additional employment possibilities; planning for their use while still incarcerated

Use in own work: reevaluation of use of offenders and organizational readiness to accept them; reassurance that others have had good experience; plan for use of ex-offenders

Comparisons and changes desired: getting better, moving more easily, stimulating, very good, a big improvement, better organized, much better, great, far superior. Liked: caliber of presenters, relaxed atmosphere, group interaction, good balance, general format, everything. Disliked: nothing

Other comments: valid generalization overdrawn
Full employment is problem
Need help in teaching staff to accept ex-offenders
Results spectacular
Program as described good or just a fad?
Good staff sensitivity to the group

Response to speaker (4 rated this on separate sheets)

(1) 4 (2) 4.8 (3) 5 (4) 4.8 (5) 5.8

Concepts: feels courts would never accept testimony from ex-offenders

Use: will discuss with judges and try to influence them positively

Comparisons: great, rates a higher mark. Liked: starting later

(c) Tuesday, March 13, sessions

Morning plenary session

(1) 31 (2) 6.3 (3) 6.7 (4) 5.6 (5) 6.2

Concept of greatest interest: discontinuing reception/diagnostic centers; tendency to assign people according to effectiveness in interaction; involvement of inmates; provision of treatment resources for staff; partnership with academic community; real implications of treatment modalities; what treatment programs should really be; provision of unneeded services; the Promethean penology; clients as active participants in treatment planning; variety of solutions for correctional problems; removing confidentiality from records

Use in own work: sharing power and participation with inmates; formalized structure for personnel evaluation and assignment criteria; prerelease planning with inmates; client participation in neighborhood offices; will increase liaison with treatment community; will get university to help; be more receptive to alternatives to traditional services; better use of psychologists; possible trial on experimental basis

Comparisons and changes desired: more satisfying, more task-performance attitudes, beautiful, excellent, good and getting better, great. No more jokers to criticize just to hear themselves talk. Liked: material, presentation, dialogue, resource people, attitude of speakers, present format and agenda, everything. Disliked: degrading view of corrections; giving offender what he wants is wrong, stupid, destructive

Other comments: why do universities leave continuing contacts up to agencies?
Mental health interventionist a new type of jailer?
Consider impact of political change
Is the understanding of others the goal of corrections?
Shocked by recommendations: could not conceive of implementation
Sees total disaster in five years

Afternoon summary and discussion (4 rated this on separate sheets)

(1) 4 (2) 5.3 (3) 6 (4) 5.8 (5) 6.3

Concepts: preponderance of negatives in case records, potential of criminal justice/academic partnership, avoid organizational conformity

Use: greater emphasis to innovative behavior in job, excellent teaching tool for new staff

Comparisons, changes: clearly superior in format, not content; outstanding; change: nothing

Liked: everything. Disliked: nothing

Other comments: will faculty act as resources after we return home?- will need sustenance

Workshops (morning and afternoon sessions combined)

Behavior

modification: (1) 16 (2) 6.6 (3) 6.8 (4) 6.1 (5) 6.8

Family psycho-

therapy (1) 20 (2) 6.8 (3) 6.9 (4) 5.8 (5) 6.8

Guided group

interaction: (1) 19 (2) 5.3 (3) 5.7 (4) 5.4 (5) 6.4

Concept of greatest interest: positive reinforcement as management device, quasiperformance contract via use of token economy, the short form presentence, encouragement of independence, taking needs of clients into account, contractual arrangements, the classification process at the institution. Therapist as coach, involving families in problem solving, application of psychotherapy, treatment of family deficiencies which cause delinquent symptoms, indirect therapy, not removing parental

responsibility. Finding self through others, group diagnosis and definition of problems, concern with behavior instead of thoughts and feelings of clients, acceptance and satisfaction with limited goals, peer pressure for behavioral change, use of group processes

Use in own work: positive vs. negative view, re-examine classification levels, reassign staff, discuss with persons in field, reevaluate own program, use natural gang groupings in sessions. Responsibility for task-related behavior, will read material to learn more about it, will introduce same program, have staff spend time in presenter's agency. Small group action for various purposes, train work release staff, prerelease involvement of families, help clients see themselves realistically, provide individual and group experiences instead of either/or planning, client group work in halfway house

Comparisons and changes desired: fine, much better, well received, holding interest, scintillating, substantive, excellent, informative, well presented, right on target, more varied, less tedious, better organized, o.k., consistently superior, considerably better. Change: institute should be only for executives. Liked: participant/staff feelings, content, wide range of helpful ideas, sustained interest, decrease in circumlocutions, presentations, everything, involvement in relevant material, whole program, quality of session. Disliked: missionary fervor of presenter, lack of evaluation of ongoing programs, participants who deemphasize points made by speakers, management discussant saying nothing despite presence of real issue--he should have got the management aspect out into the open and examined it

Other comments: an instance of male chauvinism
Would like list of better literature issued since last meetings
Arrogant condescending attitudes of instructors have disappeared
Principles applicable in adult institutions?
Why were the first three weeks not of this quality?
Institute is trying to do too much

(d) Wednesday, March 14, morning

Plenary session on work projects

(1) 22 (2) 4.1 (3) 3.6 (4) 4.3 (5) 5.8

Concept of greatest interest: the Improvement model (analysis, action, awareness, actualization), essentials of effective planning, techniques of program change, project provided occasion to do

something extraordinary, relationship between time and commitment to project completion, need for short range tangible results on way to large objectives

Use in own work: checkpoints for planning and implementation, periodic reminder that agency reacts to crisis, principles can be used for any project, plan more immediate gratification for participants in key projects, use in self-improvement and training new supervisors

Comparisons and changes: better, much better, fine superb, stimulating; living up to weak input by management component. Liked: interaction, lack of undue pressure, work projects finally finished, low profile of evaluation staff. Disliked: supercilious attitudes of some; failure to discuss problems of projects; concentration on academics

Other comments: leader wanted to draw in the group without developing his material--group wanted direct feedback: critical, honest evaluation of projects

Needed training and education in management but gained nothing--unlike other experiences

Participant and staff group thinking about problems encountered in projects

Had empathy with leader intimidated by self-styled "experts"--he had much to offer

Workshops on work projects (reports on four workshops combined)

(1) 20 (2) 6.2 (3) 6.4 (4) 5.6 (5) 6.4

Concept of greatest interest: total context totally served by serving components; regularly scheduled meetings for exchange of information, planning, and problem identification/solution; possibility of interchanging staff at all levels; attempt to train staff before new institution opens; private contracting of security personnel; goals and objectives in training for change; identification of staff with goals of agency

Use in own work: get telephones as close to client population as possible and allow liberal use; use of TV to attract volunteers; acting in resource capacity for other criminal justice officials; crisis intervention procedures in reception and diagnosis; program design and implementation; organize an administrators' council; management system style

Comparisons and changes: very good, excellent, o.k.
 Recognize the potential destructiveness of the legal profession on corrections. Identify and discuss principles involved. Liked: reticence of some "vocalists," everything. Disliked: management discussant's presentation was not relevant, redundant to presentation of projects
 Other comments: a positive experience as a reference point
 Many objectives achieved
 Low-key types are not stupid
 Thought stimulated by new theory and concepts
 Program serving too many masters and not executives

(e) Wednesday, March 14, afternoon

Luncheon sessions and workshops

Luncheon

| | | | | | |
|-------------------|-------|---------|---------|---------|---------|
| discussion: | (1) 3 | (2) 6 | (3) 6.7 | (4) 6.3 | (5) 6.7 |
| Politics: | (1) 6 | (2) 6.8 | (3) 7 | (4) 7.5 | (5) 6.5 |
| The Massachusetts | | | | | |
| experience: | (1) 6 | (2) 6.5 | (3) 6.7 | (4) 7.2 | (5) 6.7 |
| Research: | (1) 5 | (2) 6.4 | (3) 7.2 | (4) 5.4 | (5) 6.2 |

Concept of greatest interest: risk-taking; need for proper timing, discretion, awareness of foibles, humility; importance of planning strategies for effecting change. Need to be proactive in legislative contact and lobbying; corrections as a viable force in development of legislation; how to get a bill designed, introduced, supported; informal maneuvering with proposed bills. How to overcome politics; alternatives to institutional programs; conversion to community-based programs. Importance of orderly organization of knowledge about criminal justice; need for more precise research methods

Use in own work: many ramifications in situation--support skills needed; lay groundwork and solicit aid of those who can influence the power structure; touch all bases, diminishing possibility of failure. Mobilization of volunteer groups to influence power sources; rough-draft desired bills for presentation in connection with needs; ask legislators, judges, and influential persons to help. Educated hunches or guesses important in planning for change. Hire research personnel; need for discernment in evaluating research; distinction between evaluative and research methods

Comparisons and changes: fine, the most, excellent, better, o.k. Change: nothing. Liked: interaction, feeling of being part of a cohesive group, everything. Disliked: nothing

Other comments: did Institute prompt the action that backfired?

Needs lots more on topics of politics, badly
 Only one side of a controversial system--other aspects should be presented

Leader's material should have been distributed sooner, so participants could use it--no excuse for this type of last-minute planning
 Discussion academic

Could have used whole day session on research

Plenary sessions

National Institute of Corrections

(1) 18 (2) 5.6 (3) 5.9 (4) 5.3 (5) 6.1

National Commission on Goals and Standards

(1) 6 (2) 5.5 (3) 6.5 (4) 5.2 (5) 6.5

Concept of greatest interest: using people from

the Institute for continuing perspective on Advisory Board and clarifying proposed programs; possibilities of being an alumnus, attending other institutes, becoming a resource person, involving others of staff; a dynamic force pulling the profession together; continuation and development of NIC; hope that this program was part of an organized plan to improve corrections with the input of practitioners. Building new institutions requires comprehensive planning; LEAA as first of revenue-sharing efforts--other avenues of change?; getting corrections agencies and programs together on a national basis

Use in own work: get staff signed up for future NIC programs. Cite material as standard in various ways; implement staff training--assign group to pull the information together

Comparisons and changes: good, fine, without parallel, outstanding, more balanced, providing content in some way geared to nearly all components.

Change: procedure to include voices of those not competing for the floor. Liked: interaction, new-found feeling of acceptance and worth within the group, almost everything, future of the program. Disliked: verbal feuding, to detriment of probable subject matter; discussion monopolized--others tried to redirect it or did not participate

Other comments: no serious problems
 In future, define target group and material; clarify in advance
 Questions university undergraduate programs for correctional personnel
 Assign a group to assist the planners

(f) Thursday, March 15, morning

Plenary session

(1) 26 (2) 7.4 (3) 7.5 (4) 7.2 (5) 7

Concept of greatest interest: upgrading corrections by court scrutiny; legal implications and projected impact of court hearings; direction of concepts under litigation toward activities outside institutions; trend to placing more affirmative duties on administrators; rapid rate of change in the criminal justice system; litigation the biggest issue facing corrections today; development of specific process in establishing operational procedures; noninterference by courts with reasonable actions that can be substantiated; total man must be considered; increased advocacy of "due process"; relationship between law, management, and corrections

Use in own work: scrupulous due process; require specific statements in case records; incorporate as guides in future planning and policy making; will train supervisors to respect constitutional rights of clients; will create staff team to review regulations and bring them into focus with the law; will stress these matters in staff meetings; vulnerability as an administrator of an institution

Comparisons and changes: good, fantastic, more informative, more useful, much better, excellent, better organized and relevant, far superior, very meaningful, o.k. Change: nothing. Liked: interaction, quality of resource people, everything, relaxed atmosphere, material, content. Disliked: nothing

Other comments: society, not corrections, could carry some of the brunt

Acquaint lawyers with casework concepts

Need time to digest--what next?

Continue more meaningful programs like this one

Workshops

Litigation: (1) 8 (2) 6 (3) 6.5 (4) 6.3 (5) 6.1
 Judge's view-
 point: (1) 4 (2) 5 (3) 6 (4) 5.3 (5) 6.8
 Parole Revoca-
 tion: (1) 10 (2) 6.9 (3) 7.3 (4) 6.8 (5) 7

Concept of greatest interest: balanced actions well-documented usually stand court review; notion of sufficient reason for invoking judicial review not codified; need better, more comprehensive planning in terms of legal definitions; documentation of actions imperative. How to educate the judiciary; appreciation of court review process vs. action to rectify "wrongs." Need for legal counsel for correctional staff; parole revocation as applied to juveniles; probable-cause hearings; need more respect for dignity of clients

Use in own work: train staff to perform in context of reality; preventive measures regarding staying out of courts. Better proactive defense to redress of "wrongs." Will advise director of problems; will help assure clients' constitutional rights are guaranteed; sensitivity to the problem

Comparisons and changes: fine, more informative, much better, excellent, both format and content quite adequate--stronger than in first three weeks. Change: nothing. Liked: much, participant workshops, everything; content, speakers, and timing. Disliked: little, nothing

Other comments: time used in control and documentation takes away from majority and focusses on minority. Can judges appeal to others or continue to see themselves as gods?--Establish trust and confidence among various members of the system, including lawyers. An excellent program--we need more workshops of this type

(g) Thursday, March 15, afternoon

Plenary session

(1) 25 (2) 6.5 (3) 6.9 (4) 6.4 (5) 6.8

Concept of greatest interest: systems approach to attacking problems; the order--problem, strategies, manpower, facilities, equipment, operations; change in LEAA funding principles; crime analysis and program development; necessary coordination and cooperation between components; value of inspection and review in programs; programs imposed on organizations regardless of use; basic crime analysis strategy

Use in own work: clarifying objectives; reinforce planning function to keep decision making linked to the problem; MBO the basis of developing analysis of potential cases; will be easier to process grant applications; defense against critics of non-specificity of programs

Comparisons and changes: great, clearly superior, fabulous, outstanding, more balanced, much better--unbelievable, superior, super, better. Changes: nothing; could have deleted this afternoon's presenter. Liked: good interaction, enthusiasm of most participants, everything, entire program; general decency of group in tolerating the address. Disliked: why this subject was not addressed early in the first three weeks, lack of democratization in the group, "electioneering" in regard to persons to represent the group, the presentation, nothing

Other comments: should have preceded MBO

This session should have been taped

Should have had topic in first week and built program
Theme could be expanded by group--push to have a fifth week?

Staff great, service good, week swift, learning pleasant--thanks

LEAA should do more research and general planning and feed information to the states

(Several critical comments about the speaker)

(h) Friday, March 16

"Keynote" session

(1) 12 (2) 6.5 (3) 6.6 (4) 6.7 (5) 7.1

Concept of greatest interest: special needs of ex-felons; corrections should focus on returning inmate to society instead of creating a "good inmate"; must probe programs and selves for progressive, meaningful change; use of ex-con feedback and involvement in planning; need for humanizing correctional practices; practical political issues in use of ex-offenders; underestimating or downplaying untapped skills and abilities of ex-offenders is contrary to our best interest

Use in own work: explore with ex-offender organizations their ideas for service in his area

Comparisons and changes: better, tremendous, outstanding, very good. Change: nothing. Liked: small workshops, everything, total effort. Disliked: nothing

Other comments: the initial period was difficult for the participants

More time in this session would have been good

Where to from here?--how can we use our collective experience effectively?

Special ratings

Overall program: (1) 1 (2) 7 (3) 7.5 (4) 8 (5) 8

Evaluation session: (1) 1 (2) 4 (3) 4 (4) 4 (5) 7

- (i) Daily average ratings on how the fourth week's program compared with the first three weeks (on scale of 8):

| | |
|-----------|-----|
| Monday | 5.5 |
| Tuesday | 6.5 |
| Wednesday | 5.8 |
| Thursday | 6.7 |
| Friday | 7.0 |

Average for the entire week: 6.3

19. Source: Special Interviews with Two Phase III-Only Participants
(Summaries of questions and replies)

- (a) Why did you attend this week's program? (1) He attended the summer wrap-up (i.e., as a "boss") and was impressed. Also, because of the internationally fine reputation of the University of Chicago in the field of public service administration. (2) His superior thought the Institute might provide him with a valuable training experience.

- (b) What were your expectations? (1) Would acquire material and the benefit of other experience, as well as proper planning procedure, to implement the management training aspect of his mission. (2) Exposure to the NIC concept, people, new concepts in corrections. Interested in gaining knowledge about correctional institution litigation.

- (c) Did the program measure up to your expectations? (1) He went to several appropriate offices on the campus for material. Gained from the sharing; can go back and get the job done. The program provided 85 per cent of what he needed. (2) Very pleased. His objectives were met, but he was slightly disappointed that there were so few penitentiary people present.

20. Source: Final Evaluation Instrument

Twenty-six (70%) of the participants completed the last questionnaire before they returned to their homes. The following summarizes the responses on their returns:

- (a) Asked how a descriptive digest of the Institute would be useful to others in the field, they suggested various ways, such as these:

Deal with content which received participants' major endorsement
 Institute produced a significant amount of material on content and process that could prove helpful
 Useful only to persons involved in planning similar programs
 As an information base or resource for staff training and development
 Would be a forum for innovative, high thinking
 Would serve as a catalyst in evoking fruitful thought in the various areas covered
 Could generate interest by others in the Institute concept
 An article evaluating the Institute would interest those who have not attended
 To acquaint them with the initiation of the Institute
 Would permit the distribution of the major concepts discussed
 Would provide information for skeptical candidates for future programs
 To diagram format that could be studied and built on to arrive at best possible model
 Could focus on the importance of joint faculty-participant planning in organizing institutes
 To inform others of attempts to professionalize correctional personnel
 Good insight into organizational problems

(b) Asked where such a digest might best be published to secure widest readership of the appropriate kind, participants suggested:

- ACA and NCCD journals
- Federal Probation
- Crime and Delinquency
- Journal of Criminal Law
- Corrections Digest
- Education, management, and psychology journals
- Proceedings of NIC
- Political science and criminology
- LEA publication
- Sunday editions of major local newspapers

(c) Twelve (46%) participants had not used the "steering committee" technique in projects or programs of their own. Of the 13 (50%) who reported that they had used steering committees or groups of similar nature, two credited the Institute directly as the source of the idea and two others credited the Institute partially or indirectly. Thus, at the most, 15% of those who responded to this item had adopted the steering committee model for their use during Phase II.

(d) Given the following preferences concerning future Institutes, participants' preferences were as shown:

| | <u>1st pref.</u> | <u>2nd pref.</u> | <u>3rd pref.</u> | <u>4th pref.</u> |
|---|------------------|------------------|------------------|------------------|
| Separate Institutes for criminal justice and for management | 6 (25%) | 5 (21%) | 6 (25%) | 7 (29%) |
| A single Institute with criminal justice portions and management portions | 8 (35%) | 8 (35%) | 5 (22%) | 2 (9%) |
| A single Institute formally treating criminal justice, with management treated informally | 8 (32%) | 6 (24%) | 8 (32%) | 3 (12%) |
| A single Institute formally treating management, with criminal justice treated informally | 4 (17%) | 3 (13%) | 3 (13%) | 13 (57%) |

(e) All respondents wished to be kept informed regarding the activities of the NIC.

(f) Asked how often the participants thought that criminal justice, management, and evaluation concerns had been integrated with each day's theme during the fourth week, here is what they said:

| | |
|------------------|----------|
| Never | 0 |
| Some of the time | 11 (44%) |
| Most of the time | 14 (56%) |
| Always | 0 |

(g) With regard to who originated the integration referred to in (f), the responses were:

| | <u>Most often</u> | <u>- - -</u> | <u>Least often</u> |
|------------------------|-------------------|--------------|--------------------|
| Participants | 13 (57%) | 6 (26%) | 4 (17%) |
| Management discussants | 9 (39%) | 7 (30%) | 7 (30%) |
| Session leaders | 4 (17%) | 9 (39%) | 10 (43%) |

(Didn't know, or didn't understand the question--2)

Note: Other procedures than those described in this section of the report were also employed, and other data were collected that have not been set forth. Only one other instrument produced evidence that appeared to have significance. At the end of the fourth week, a number of faculty and staff members and participants who were cognizant of the original planning of the Institute were given a questionnaire concerning the purposes the program had been intended to achieve and what happened to the purposes in the course of the program. Not all responded, but those who did consisted of two staff members, a member of the criminal justice team, a member of the management team, and a participant observer from the Government. The views of these five displayed some contradictions continuing even after the program had ended. Here are brief summaries of their replies to the four questions asked:

- (1) What purposes did the planners initially want this program to achieve?

Staff #1: a training model in the field. Government: early visibility for NIC; surfacing of leadership, promotion of communication within the system. University: perception of criminal justice as a system, gain in skills for managing change, perception of evaluation as an essential tool of change management.

Staff #2: to train middle level correctional people in management skills, plus training model, visibility, and leadership.

Criminal justice: to begin creation of a network of correctional administrators with professional standards and loyalties, increase system knowledge and managerial skills of middle level personnel.

Management: as spelled out in the proposal and detailed program content. The program was too ambitious to carry out in the time and with the number of people involved, although the attempt was justified as an experimental, pilot program.

Participant observer: principal focus on improvement of management skills, with focus on management of change.

- (2) Did these purposes change in any significant way?

Staff #1: methodology, yes; purposes, no. There were changes in priority.

Staff #2: no, except that NIC introduced a "happiness" factor.

Criminal justice: as the Institute progressed, achievement of increase in knowledge of the system and managerial skills seemed to decline, and the other purpose seemed quite remote.

Management: primary change was in input by the participants; emphasis on management and organization development was reduced and input on the system was increased.

Participant observer: from his perspective, no.

- (3) Did the program serve any purposes not contemplated by the planners?

Staff #1: stressed participant purposes unforeseen by the planners.

Staff #2: not really, but they may have been served in different ways than were planned.

Criminal justice: no

Management: no. Most of the actual purposes served were anticipated in the planning.

Participant observer: no

- (4) What was the reasoning involved in dividing the program into three phases?

Staff #1: thinks he recalls that a three-week program did not provide a good basis for testing the model. First a recap week was proposed; then, it was proposed that an interim work project could have a number of sizeable payoffs.

Staff #2: the first was to be the "content" phase; the other two would serve primarily as evaluation techniques.

Criminal justice: breaking for a work project and coming together for a refresher week would consolidate any achievements; he thought it worked unexpectedly well.

Management: spelled out in the original proposal.

Participant observer: thought purpose was to highlight each of the three components. They were not to be "phases," but intertwined, melded pieces.



THE PARENT SYSTEM

Philip M. Nowlen
Project Coordinator

1. Relationships

The National Institute of Corrections was still only a drawing board reality when Phase I of the Chicago Institute began. NIC depended on Law Enforcement Assistance Administration funds and did not have a permanent director. NIC's acting director had resigned and its advisory committee offered less than a consensus as to its focus. NIC was a creation of both LEAA and the Bureau of Prisons.

The parentage of the Chicago Institute and the relationship of its staff to LEAA and NIC staff was difficult to sort out at first.

The Illinois Law Enforcement Commission (the state planning agency) was unsure of its responsibilities in passing on the Chicago Institute proposal and in subsequently monitoring the project grant.

The Chicago Institute coordinator was accustomed to administering federal grants in which, once the grant was awarded, monitoring from Washington was largely fiscal in nature with an occasional check on the fulfillment of grant conditions. NIC's staff assumed an advisory relationship to the conduct of the program, a relationship which, although not unheard of, was unanticipated by the Chicago Institute staff.

It is recommended that information supplementing any NIC request for proposal describe the relationship

- a. of NIC and LEAA to funded projects
- b. NIC's staff desires to have with the project director during and concerning the conduct of the project, and,
- c. of the state planning agency to NIC funded projects.

2. An Educational Plan

NIC's advisory committee has suggested that NIC should seek to have a substantial influence on the professionalization of corrections personnel, from those in the most senior policy making roles to those who train first line supervisors.

The translation of such high purpose into concrete programs is most safely based on the development of an overarching educational plan. When an ongoing system such as NIC selects temporary educational systems, it is choosing strategies. The more related these strategies are to one another, as by an overall design, the stronger and more coherent their impact will be on the field. Essential steps in the development and administration of such a plan follow:

- a. Articulation of assumptions regarding educational needs. To what extent can generic skill needs be identified, greater management sophistication for example? Is there a need to disseminate correctional concepts related to improvement or change in criminal justice programs and/or structures.
- b. Testing the assumptions against data gathered regarding actual performance.
- c. Comparison of actual performance data with established or desired standards of performance.
- d. Description of gaps between actual and desired performance
- e. Judgment that particular gaps can or cannot be closed through educational programs. An analysis of the causes of deficient performance is necessary.

Where there are serious disincentives to adequate performance or where appropriate incentives are missing, performance is unlikely to be affected by education or training, unless raising the level of frustration is considered desirable. Where such causes are found, NIC will hardly have wasted its time. It will have discovered new educational needs in unanticipated places and the solving of these needs will be highly beneficial. Such discoveries might lead to a series of problem solving workshops.

Where the deficient performance can be identified as primarily caused by a lack of information and/or skills, an educational program may be quite promising for those whose performance is in question.

- f. Issuance of requests for proposals soliciting educational programs precisely aimed at closing or eliminating gaps between desired and actual performance or problem solving workshops aimed at creating incentives or removing disincentives to desired performance.
- g. Development of criteria for selection of program or workshop participants.
- h. Briefing selected program directors on the ways in which their programs or workshops fit into the overarching educational plan.

- i. Linkage of information gathering process desired in each temporary system selected to the surfacing of as yet unidentified educational needs as well as to NIC's other functions: the development of an information clearing house, the identification of promising leadership, etc.

There are a number of other models which might be considered in developing an overarching educational plan for NIC and the above only sketchily illustrates one such model. The following might be of further assistance: Innovation in Education, ed. by Matthew B. Miles (New York: Columbia University Teachers College Press, 1971), and Cyril O. Houle, The Design of Education (San Francisco: Jossey-Bass, Inc., 1972).

SYSTEMS IMPACT EVALUATION

Myron Block
Systems Impact Consultant

A primary focus of the evaluation component of the Summer Institute has been to determine the extent to which meaningful changes in the participants have occurred as a result of their exposure to this experience. The terms internal and external criteria are used to distinguish two separate types of training effects. The various dimensions and information included under internal criteria relate to the issue of the changes in participants which developed during the summer program. Questions related to this area would include: What have the participants learned? Did they behave differently toward the end of the institute as the result of some skill acquisitions? And, how satisfied were these executives with their experience?

The objective of the evaluation component presented in this section presupposes some degree of program success as measured by these internal criteria and directs itself toward the problem of determining whether any of the learning acquired during the Summer Institute has been transferred back to the organizations which the 40 odd participants have represented and reflected both in the way they behave on the job and the way in which their operations function. The time span required for the investigation of these external criteria is necessarily long range to insure that only relatively permanent changes in job behavior and in the organizational functioning are reflected in the data collected as part of this systems impact component of the Summer Institute.

Ascertaining the extent to which training has an organizational impact is by no means a trivial pursuit. The intent of the Summer Institute is to produce improvements in a number of areas within corrections, not simply to further the personal knowledge of the already highly educated institute

participants. Enough experience exists in the field of training to suggest that the desired and anticipated organizational application of skills acquired during training is no automatic occurrence. Reviews by Campbell, et al. (1970), Miner (1965), and Dunnette and Campbell (1968) all concur that the expected retention and job related utilization of the skills and techniques produced through either institutional or residential training programs have not been substantiated. The need to consider the issue of external criteria as an integral part of any serious effort to evaluate a training institute was demonstrated strongly by Fleishman (1953) who discovered in his evaluation that a well established training institute failed to produce any sort of permanent change in either the attitudes or behavior of the participants despite the fact that questions administered directly following the program had indicated that the objectives of the curriculum were fulfilled and tremendous learning had taken place. The program had been successfully communicated to the participants but never applied within the organization. A related concern discussed by Mosel (1958) and Duncan (1972) is that many systems do not support the expression of the attitudes and skills which are taught in the programs to which they have sent executives. In such cases, participation in the institutes is both a waste of money for the organization and an emotionally frustrating experience for the person who is sent.

Therefore, this evaluation component concentrates on two fundamental questions pertaining to the systems impact of the Summer Institute: (1) what has been the effect of the training upon the job behavior of the participants and the organizational characteristics of the systems they represent, and (2) how can the institutional approach to training within cor-

rections be modified in the future to better meet the needs of the executives within the criminal justice system and the agencies or institutions they represent.

A. Changes in Job Behavior

One objective of the Summer Institute was that the participants might improve the performance of certain aspects of their organizational roles as a consequence of their experience. A "Work Behavior Profile" was designed by the systems impact consultant in order to determine the extent to which changes in job related behavior occurred along expected dimensions. (Copy of the profile present in the appendix.) The profile was composed of 38 questions relating to the following six dimensions:

1. Program Development
2. Training and Development of Staff
3. Evaluation and Research
4. Communications
5. Leadership Behavior
6. Group Decision Making

The questionnaire was administered to all participants at the beginning of the Summer Institute to discover how they typically behaved prior to training, and was subsequently readministered through the mail six months following the three week program to learn if any systematic changes of a relatively permanent nature have occurred. Since the participants can not be objective about themselves and could possibly be unaware of any changes they have made, responses to the questionnaire were also solicited from selected staff members of each participant at the six month intervals. Thus, informa-

tion on the behavior change of the participants was collected from two separate sources, members of the Institute and their subordinates. Table 1 indicates the per cent change in behavior reported by both participants and subordinates. Change is determined by comparing the responses made at the beginning of the Institute with responses made to the same questions six months later.

A positive change means that the behavior changed in the direction intended by the program. A negative change means that behavior has actually been modified in ways opposite those desired and anticipated by the staff of the Institute. The dimensions and questions were developed on the basis of objectives and information provided by the staff. The terminology to be used in this report will be as follows:

- over 10% high change
- 5 to 10% moderate change
- 3 to 5% low change

The information in Table 1 indicates that the Institute has very definitely produced constructive change in the job behavior of its participants. Particularly interesting is the fact that the subordinates were even more aware of the change than the participants themselves. Since the subordinate questionnaires were returned directly to the systems impact consultant and complete confidentiality was assured, there is no reason to question the reliability of these responses. In the case of subordinates, they reported the greatest change in the area of "communications," in particular in the tendency and ability of the participants to communicate with other colleagues in other states, a finding which is not surprising considering the excellent contacts developed during the Institute, and commun-

Table 1.--Per Cent Change in Job Related Behavior of Institute Participants

| Item | Participant Reported | Subordinate Reported |
|--|----------------------|----------------------|
| I. Program Development..... | 6.2 | 7.0 |
| II. Training and Development of Staff..... | 5.7 | 6.1 |
| III. Communications | | |
| 1. With Colleagues in Other States..... | 3.8 | 13.9 |
| 2. With Superiors..... | -1.5 | 5.8 |
| 3. With Subordinates..... | 5.2 | 12.4 |
| 4. With Other Components in the C. J. S..... | .5 | 8.9 |
| 5. Total..... | 1.2 | 9.6 |
| IV. Evaluation and Research..... | 3.1 | 5.4 |
| V. Leadership..... | 3.0 | 7.5 |
| VI. Decision Making..... | 6.0 | 3.0 |

ications with subordinates, a dimension the subordinates should be quite knowledgeable about.

Moderate change was reported by the subordinates on the other five dimensions of work behavior with "leadership" and "program development" ranking second and third. The staff of the participants have perceived a consistently favorable change in the behavior of their bosses in all areas emphasized by the training; a very interesting discovery. While most of the participant responses were also in the expected direction, they have indicated that these changes are primarily low or moderate in degree, with the greatest improvements reported in the areas of "program development," "decision making," and the "training and development of staff." Although there are inconsistencies between the responses of the participants and their subordinates concerning the extent of change and the specific dimensions which were most favorably affected, this is not unexpected. The two groups of respondents view the behavior of the participants from different perspectives and possess different priorities concerning his activities. The crucial finding is that agreement does exist that behavioral change has occurred and that it has developed along multiple dimensions, not just a few.

An analysis of the responses to the 38 items which comprise the six general factors provides further insight into the extent to which the Summer Institute produced behavioral change in the work role of the participants. The subordinates reported that high or moderate change in behavior occurred on 71% of the questionnaire items. High change (over 10% improvement) was indicated by them on the following specific items:

| | |
|--|-------|
| 1. Effectiveness in developing programs | 12.5% |
| 9. Frequency of communication with colleagues based in other states | 15.8% |
| 10. Usefulness of these communications | 12.2% |
| 13. Frequency of communications with subordinates | 12.4% |
| 15. Frequency of communications with representatives of other criminal justice system components performing different services | 10.1% |
| 30. Regularly provides staff with feedback on their job performance as it relates to established objectives | 19.5% |

These particular items and those on which moderate change is indicated by participant staff members reflects their perception that participant behavior has had widespread improvement over the six months immediately following the Summer Institute.

The responses of the participants themselves to the specific items are, as in the case of the general factors, generally perceived as change in a positive direction, but to a lesser extent than indicated by their subordinates. High or moderate change in behavior was indicated on 42% of the items answered by the participants themselves. High change (over 10% improvement) was reported on the following specific items:

| | |
|--|-------|
| 1. Relevance and usefulness of programs developed | 11.9% |
| 9. Frequency of Communications with colleagues in other states | 10.7% |
| 19. Collection of research and evaluation data pertaining to functional responsibilities | 15.0% |
| 26. Maintains close control over activities of staff | 10.7% |
| 36. Encourages participation by total group in decision making | 12.2% |

The implication of these findings is that the Summer Institute has proven favorable on external criteria as far as its ability to effect somewhat permanent changes in the job related behavior of its participants. Both the participants and their staff members have indicated that considerable improvement in behavior has occurred in several areas and that moderate change in behavior has occurred for many items relating to the six job factors focused on by the Summer Institute.

Table 2 also provides the Mean score of all the respondents to the first questionnaire administration. Since the follow-up questionnaire was not returned by all those informants initially involved, a comparison of this total Mean with the initial Mean of those individuals for whom both time period questionnaires were received is presented. This comparison reveals that the sample was so similar to the responses of the total group of participants and of subordinates that little concern should be given to

Table 2.--Responses to Specific Items on the Work Behavior Profile

| | | Participants | | | | | Subordinates | | | |
|------|---|--------------|-----|-----|--------|-------|--------------|-----|--------|------|
| | | Total | M | | % | Total | M | | % | |
| | | M | 1 | 2 | Change | M | 1 | 2 | Change | |
| I. | Q | 1 | 5.0 | 4.9 | 5.1 | 4.5 | 5.7 | 5.3 | 5.9 | 12.5 |
| | | 2 | 5.1 | 5.1 | 5.4 | 7.7 | 5.6 | 5.5 | 5.7 | 4.1 |
| | | 3 | 4.1 | 4.0 | 3.9 | - 2.8 | 4.9 | 4.8 | 5.0 | 4.1 |
| | | 4 | 5.3 | 5.1 | 5.6 | 8.7 | 5.4 | 5.3 | 5.7 | 8.0 |
| | | 5 | 5.3 | 5.1 | 5.6 | 11.0 | 5.9 | 5.8 | 6.1 | 6.4 |
| II. | | 6 | 6.1 | 5.6 | 5.6 | --- | 6.0 | 6.0 | 6.4 | 6.6 |
| | | 7 | 4.8 | 4.7 | 5.2 | 9.4 | 5.3 | 5.4 | 5.7 | 5.7 |
| | | 8 | 4.8 | 4.8 | 5.2 | 8.1 | 5.4 | 5.4 | 5.8 | 6.0 |
| III. | A | 9 | 3.2 | 3.1 | 3.4 | 10.7 | 4.3 | 4.2 | 4.8 | 15.8 |
| | | 10 | 3.9 | 4.1 | 4.1 | - 1.4 | 4.6 | 4.6 | 5.2 | 12.2 |
| | B | 11 | 5.8 | 5.6 | 5.5 | - 1.0 | 5.9 | 5.4 | 5.7 | 7.1 |
| | | 12 | 5.8 | 5.8 | 5.7 | - 1.9 | 5.8 | 5.8 | 6.1 | 4.7 |
| | C | 13 | 6.0 | 6.4 | 6.7 | 5.2 | 5.6 | 5.5 | 6.2 | 12.4 |
| | | 14 | 5.9 | --- | --- | --- | 5.9 | --- | --- | --- |
| | D | 15 | 5.0 | 4.9 | 4.9 | - 1.1 | 5.2 | 5.6 | 6.1 | 10.1 |
| | | 16 | 5.2 | 5.4 | 5.5 | 2.1 | 5.4 | 5.4 | 5.8 | 7.6 |
| | E | 17 | 5.7 | 5.7 | 5.7 | --- | 5.8 | 5.4 | 6.0 | 8.7 |

Table 2.--Continued

| | Participants | | | | | Subordinates | | | |
|-----|--------------|-----|-----|-------------|------------|--------------|-----|-------------|--------|
| | Total M | M | | % Change | Total M | M | | % Change | |
| | | 1 | 2 | | | 1 | 2 | | |
| IV. | 18 | 5.4 | 5.3 | 5.1 | -3.2 | 5.5 | 5.5 | 5.8 | 6.0 |
| | 19 | 4.2 | 4.1 | 4.7 | 15.0 | 5.3 | 5.3 | 5.6 | 6.5 |
| | 20 | 5.3 | 4.9 | 5.0 | 1.1 | 5.3 | 5.4 | 5.6 | 3.7 |
| V. | 21 | 6.3 | 6.1 | 6.1 | -.9 | 6.2 | 6.2 | 6.3 | 2.0 |
| | 22 | 5.8 | 5.7 | 5.9 | 3.9 | 5.8 | 5.6 | 6.0 | 6.2 |
| | 23 | 5.8 | 5.8 | 6.0 | 3.8 | 5.8 | 5.6 | 5.9 | 6.3 |
| | 24 | 6.2 | 6.1 | 6.6 | 3.6 | 5.9 | 5.8 | 6.2 | 6.9 |
| | 25 | 6.0 | 5.8 | 5.9 | 1.9 | 5.9 | 5.7 | 6.1 | 6.2 |
| | 26 | 4.4 | 4.2 | 4.6 | 10.7 | 4.9 | 4.9 | 5.9 | 12.1 |
| | 27 | 5.7 | 5.8 | 6.2 | 5.7 | 5.7 | 5.8 | 6.0 | 5.1 |
| | 28 | 5.7 | 5.8 | 5.8 | --- | 5.8 | 5.7 | 6.0 | 4.2 |
| | 29 | 5.2 | 5.4 | 5.3 | -3.1 | 5.4 | 5.3 | 5.8 | 8.5 |
| | 30 | 4.8 | 4.6 | 4.8 | 6.0 | 4.8 | 4.7 | 5.6 | 19.5 |
| VI. | 31 | 5.3 | 5.1 | 5.4 | 7.7 | 5.3 | 5.4 | 5.7 | 4.8 |
| | 32 | 5.5 | 5.3 | 5.7 | 8.4 | 5.3 | 5.2 | 5.5 | 5.6 |
| | 33 | 5.3 | 5.3 | 5.4 | 2.1 | 5.7 | 5.3 | 5.7 | 7.0 |
| | 34 | 3.1 | 2.7 | 2.7 | --- | 2.7 | 2.9 | 2.7 | +(6.5) |
| | 35 | 4.7 | 4.6 | 4.2 | +8.5 | 4.4 | 4.3 | 4.6 | -7.3 |
| | 36 | 5.2 | 5.0 | 5.6 | 12.2 | 5.6 | 5.6 | 5.9 | 4.8 |
| | 37 | 5.2 | 5.0 | 5.2 | 4.4 | 5.5 | 5.3 | 5.5 | 5.5 |
| | 38 | 5.4 | 5.3 | 5.6 | 5.2 | 6.0 | 6.1 | 6.0 | -(2.3) |

the possibility that the responses of the sample which has been reported might be atypical.

B. Reported Changes in the Organizational Characteristics of Participating Systems

While an immediate objective of the Summer Institute was to change the work behavior of participating executives, the ultimate goal is to improve the functioning of the organizational systems they represent. Modifying an individual's job behavior is frequently attempted because of the consequences that are expected to follow within the organizations themselves. To assess whether the correctional systems have changed since last summer's program, a "Profile of Organizational Characteristics" questionnaire was distributed to all participants and their subordinates at the same time as the previously described "Work Behavior Profile." (A copy of the profile appears in the Appendix.) The instrument was developed by Likert (1967) and was adopted for use in this evaluation because of the apparent relevance of its eight factors for the objectives and content of the Summer Institute. The questionnaire consists of 51 separate items which make up the factors identified below:

1. Leadership Process Used
2. Character of Motivational Forces
3. Character of Communication Process
4. Character of Interaction-Influence Process
5. Character of Decision Making Process
6. Character of Goal Setting or Ordering
7. Character of Control Process
8. Performance Goals and Training

Questions relate to employee perceptions of the functioning of the organization as a whole, not of the behavior of particular focal persons within the system. As in the case of changes in job behavior, variations in job characteristics were determined by comparing the replies of respondents made during the Summer Institute with the answers given to the identical items 6 months following completion of the summer program. Table 3 presents the per cent change in organizational characteristics reported separately from participants and from their subordinates for the eight factors.

The data relating to changes in Organizational Characteristics is very much like those reported from the Work Behavior Profile. Both participants and subordinates reported consistently moderate changes in the organizational functioning of participant systems in the directions intended by the summer program. Participants indicated considerable improvement (13.4%) in the goal setting performance of the organization and moderate change on five other dimensions; communications (9.2% improved), control process (7.6% improved), decision making process (6.3% improved), nature of motivational forces (6.3% improved), and training and performance goals (6.2% improved). Thus, participants perceived their organizations as changed favorably on six of the eight dimensions measured by the profile. The inference appears to be that the Institute has succeeded in effecting some changes within the correctional systems that were involved.

The feedback from the subordinates indicated that while they likewise detected improved organizational functioning on six of the eight factors measured, the extent of the change appeared less. They reported moderate

Table 3.--Per Cent Change in Organizational Characteristics of Participant Systems Reported for the Six Months Following the Summer Institute

| Item | By Parti- cipants | By Subordi- nates |
|--|----------------------|----------------------|
| I. Leadership..... | -3.7 | 8.1 |
| II. Motivational Forces..... | 6.3 | 8.0 |
| III. Communications..... | 9.2 | 1.9 |
| IV. Interaction..... | 2.4 | -6.0 |
| V. Decision Making..... | 6.3 | 3.4 |
| VI. Goal Setting..... | 13.4 | 5.8 |
| VII. Control..... | 7.6 | 4.5 |
| VIII. Performance Goals and Training..... | 6.2 | 4.3 |

improvement for three organizational characteristics; leadership (8.1% improved), the nature of motivational forces (8.0% improved), and goal setting performance (5.8% improved) and low improvement for three other characteristics: control (4.5% improved), performance and training (4.3% improved), and decision making (3.4% improved). The dissimilarity between participants and subordinates concerning the perception of job factors seen as changing most drastically is not surprising considering that persons at different job levels within an organization have different responsibilities and priorities which make them differentially sensitive to changes that might occur. The fact that the participants reported more extensive change than did their subordinates was also consistent with expectations since they were more directly affected by the Institute and would also be more aware of any organizational changes which may have subsequently developed since they may have either served as catalysts for the changes or been directly responsible for implementing them.

Responses to the specific items which make up the questionnaire provide additional insights. (See Table 4.) The Mean scores are themselves enlightening. Likert has explained that the absolute scores on the profile reflect the type of managerial style most typically used within the organization. The responses provided by the participants and their subordinates indicate that while there remains much need for continued improvements, the managerial styles are quite progressive considering the general exposure that most correctional executives have had to management techniques. Many of the systems are depicted as adopting principles of participative management, or at least utilizing and involving their human resources in a consultative fashion. Few of the systems were described as either autocratic or benev-

Table 4.--Profile of Organizational Characteristics

| Mean Scores and Per Cent Change* | | | | | | | | | | |
|----------------------------------|---|----|-------|------|------|--------|--------------|------|------|--------|
| Participants | | | | | | | Subordinates | | | |
| I. | Q | | Total | M | M | % | Total | M | M | % |
| | | | M | 1 | 2 | Change | M | 1 | 2 | Change |
| I. | Q | 1 | 13.8 | 13.5 | 14.4 | 6.9 | 14.5 | 14.0 | 13.2 | - 5.7 |
| | | 2 | 12.9 | 11.9 | 14.1 | 18.4 | 13.5 | 13.2 | 14.4 | 9.4 |
| | | 3 | 13.4 | 13.4 | 14.6 | 9.3 | 13.9 | 13.1 | 14.8 | 13.1 |
| | | 4 | 4.9 | 4.6 | 8.2 | -77.0 | 6.3 | 6.5 | 4.6 | 26.4 |
| | | 5 | 7.3 | 7.3 | 9.9 | -37.1 | 7.0 | 7.0 | 5.9 | 6.8 |
| II. | | 6 | 11.7 | 11.8 | 13.3 | 12.7 | 12.4 | 12.3 | 13.7 | 10.9 |
| | | 7 | 13.8 | 14.0 | 14.5 | 3.6 | 14.4 | 14.7 | 14.8 | .4 |
| | | 8 | 8.0 | 7.9 | 7.0 | 11.1 | 6.9 | 7.5 | 6.7 | 10.0 |
| | | 9 | 12.6 | 11.8 | 12.8 | 9.0 | 13.0 | 13.6 | 13.2 | - 2.6 |
| | | 10 | 8.0 | 8.1 | 7.9 | 2.3 | 8.1 | 8.2 | 6.8 | 17.2 |
| | | 11 | 6.9 | 7.1 | 7.1 | --- | 6.7 | 6.4 | 5.2 | 19.3 |
| | | 12 | 7.2 | 7.1 | 6.4 | 5.6 | 7.0 | 7.1 | 6.1 | 14.2 |
| III. | | 13 | 13.4 | 13.6 | 14.1 | 6.8 | 13.6 | 14.0 | 14.3 | 2.5 |
| | | 14 | 14.5 | 14.1 | 14.5 | 3.1 | 14.0 | 14.5 | 14.7 | 2.0 |
| | | 15 | 8.3 | 7.9 | 7.6 | 4.7 | 7.9 | 7.6 | 8.1 | - 6.8 |
| | | 16 | 13.6 | 14.2 | 15.0 | 9.3 | 13.7 | 13.6 | 13.6 | --- |
| | | 17 | 6.4 | 7.4 | 5.3 | 29.4 | 6.3 | 6.7 | 6.4 | 4.6 |
| | | 18 | 13.7 | 14.3 | 15.3 | 7.5 | 13.6 | 13.0 | 13.3 | 2.4 |
| | | 19 | 13.8 | 13.8 | 14.9 | 8.1 | 13.8 | 14.1 | 14.4 | 1.5 |
| | | 20 | 7.2 | 6.1 | 6.6 | - 7.1 | 7.4 | 6.9 | 6.4 | 7.3 |
| | | 21 | 5.2 | 4.9 | 5.1 | -12.3 | 6.5 | 6.0 | 5.3 | 11.7 |
| | | 22 | 9.1 | 8.9 | 7.3 | 17.6 | 7.3 | 6.8 | 8.8 | -28.8 |
| IV. | | 23 | 12.4 | 12.6 | 15.6 | 24.0 | 14.7 | 15.0 | 13.9 | - 6.7 |
| | | 24 | 6.8 | 6.9 | 6.9 | - .9 | 6.7 | 7.3 | 5.9 | 15.5 |
| | | 25 | 7.6 | 8.1 | 5.9 | 26.3 | 6.4 | 7.1 | 6.1 | 13.2 |
| | | 26 | 13.1 | 12.9 | 13.1 | 1.4 | 14.3 | 13.9 | 13.5 | - 2.8 |
| | | 27 | 7.0 | 7.0 | 5.8 | 17.9 | 5.7 | 6.0 | 6.1 | - 1.9 |
| | | 28 | 6.6 | 5.9 | 6.1 | - 2.1 | 5.6 | 5.6 | 6.8 | -22.1 |
| | | 29 | 14.9 | 15.5 | 15.1 | - 3.0 | 15.2 | 14.8 | 14.3 | - 3.3 |
| | | 30 | 11.8 | 12.5 | 12.1 | - 3.5 | 13.3 | 13.5 | 12.8 | - 4.8 |
| | | 31 | 13.9 | 13.3 | 13.3 | --- | 13.0 | 12.9 | 13.6 | 5.3 |
| | | 32 | 7.9 | 8.3 | 7.1 | 14.3 | 7.0 | 7.1 | 8.9 | -24.9 |

Table 4.--Continued

| Mean Scores and Per Cent Change | | | | | | | | | |
|---------------------------------|----|------------|--------|--------|--------------|------------|--------|--------|-------------|
| Participants | | | | | Subordinates | | | | |
| | | Total M | M 1 | M 2 | % Change | Total M | M 1 | M 2 | % Change |
| V. | 33 | 11.0 | 11.3 | 11.6 | 2.2 | 9.5 | 9.5 | 10.2 | 7.5 |
| | 34 | 13.3 | 13.9 | 13.8 | -.9 | 14.3 | 13.8 | 13.0 | -5.9 |
| | 35 | 6.6 | 5.9 | 5.4 | 9.5 | 6.2 | 5.6 | 5.0 | 10.8 |
| | 36 | 11.9 | 12.6 | 13.9 | 10.4 | 12.6 | 12.0 | 13.5 | 12.0 |
| | 37 | 7.0 | 7.1 | 6.4 | 8.8 | 7.2 | 7.1 | 7.5 | -5.7 |
| | 38 | 8.0 | 7.1 | 6.2 | 13.1 | 6.7 | 6.5 | 6.4 | 2.3 |
| | 39 | 14.8 | 14.7 | 15.4 | 5.0 | 14.3 | 14.0 | 14.7 | 5.0 |
| | 40 | 13.1 | 13.1 | 14.2 | 8.7 | 14.4 | 14.6 | 14.2 | 2.5 |
| VI. | 41 | 7.6 | 7.9 | 7.2 | 8.5 | 7.6 | 7.6 | 7.7 | -1.2 |
| | 42 | 7.2 | 7.1 | 6.3 | 10.4 | 7.8 | 7.8 | 6.9 | 10.6 |
| | 43 | 11.5 | 10.9 | 12.2 | 18.9 | 12.1 | 11.7 | 12.6 | 6.9 |
| VII. | 44 | 13.4 | 14.2 | 14.7 | 3.3 | 13.2 | 13.3 | 15.2 | 14.7 |
| | 45 | 6.3 | 6.4 | 6.8 | -6.2 | 5.7 | 5.4 | 5.7 | -5.5 |
| | 46 | 11.6 | 11.1 | 12.4 | 11.3 | 11.0 | 10.6 | 11.8 | 11.1 |
| | 47 | 12.8 | 12.2 | 13.4 | 10.3 | 13.8 | 13.7 | 13.5 | -1.4 |
| | 48 | 14.2 | 14.3 | 16.1 | 12.6 | 15.1 | 14.9 | 14.9 | --- |
| VIII. | 49 | 8.5 | 8.6 | 8.1 | 5.1 | 8.2 | 8.0 | 7.6 | 5.0 |
| | 50 | 12.3 | 12.4 | 13.3 | 6.5 | 10.4 | 10.7 | 10.9 | 1.4 |
| | 51 | 12.7 | 11.5 | 10.7 | 6.5 | 11.4 | 10.5 | 9.7 | 6.9 |

*Note: The per cent change presented as positive for those items where the change was in the expected direction. Since the scale had item reversals, a reduction in the Mean score represented a positive change for certain items.

olently paternalistic. While not directly related to the objectives of the systems impact evaluation, this tangential analysis reveals that the majority of the participating organizations within corrections are actually healthier on the eight organizational factors measured than most business organizations.

An analysis of responses made six months after the summer program indicates that participants detected a high degree of change on 32% of the 51 items and at least moderate change (5% improvement or more) for 63% of all the items. The greatest degree of positive change was reported for the following items:

| Item | Improvement % |
|---|------------------|
| 2. Extent of subordinate trust and confidence superiors | 18.4 |
| 6. Effective tapping of underlying motives | 12.7 |
| 8. Development of favorable attitudes toward the organization | 11.1 |
| 17. Subordinate acceptance of communications | 29.4 |
| 22. Need for supplementary upward communications system | 17.6 |
| 23. Adequacy and accuracy of sideward communications | 24.0 |
| 25. Superiors understand problems faced by subordinates | 26.3 |
| 26. Extensive, friendly interaction with trust | 17.9 |

| <u>Item (continued)</u> | <u>Improvement</u> |
|---|--------------------|
| | % |
| 32. Effective structure for influencing other parts of the organization | 14.3 |
| 36. Technical and professional knowledge used in decision making | 10.4 |
| 38. Decision process facilitates motivation to implement | 13.1 |
| 42. Different hierarchical levels strive for high performance goals | 10.4 |
| 43. Goals fully accepted | 18.9 |
| 46. Review and control done at all organizational levels | 11.3 |
| 47. Informal organization supports goals of the formal organization | 10.3 |
| 48. Control data used for guidance rather than punitive policing | 12.6 |

Responses to these and other items indicate that the participants have experienced considerable change in the organizations during the six months following the Summer Institute with the greatest impact in the areas of communications, interpersonal relations and trust, concern with and quality of goals, and the quality of the decision process.

While the subordinates had not perceived as much change within these organizations, they did report a high degree of change on 28% of the items and at least a moderate degree of change for 45% of the 51 items

administered in the profile. Those areas of the organization which were seen by subordinates as improving the most are reflected in the items.

| <u>Item</u> | <u>Improvement</u> |
|--|--------------------|
| | % |
| 3. Superiors display supportive behavior toward others | 13.1 |
| 4. Subordinates feel free to discuss important things about their jobs with superior | 26.4 |
| 6. Underlying motives tapped | 10.9 |
| 8. Development of favorable attitudes toward the organization | 10.0 |
| 10. Each member feels responsibility for the achievement of organizations goals | 17.2 |
| 11. Favorable, cooperative attitudes toward other members of the organization | 19.3 |
| 12. Much satisfaction derived throughout the organization | 14.2 |
| 21. Upward communications | 11.7 |
| 24. Friendliness between superiors and subordinates | 15.5 |
| 25. Superiors understand problems faced by subordinates | 13.2 |
| 35. Decision makers aware of problems of others in organization | 10.8 |
| 36. Technical and professional knowledge used in decision making | 12.0 |

| <u>Item (continued)</u> | <u>Improvement</u> |
|--|--------------------|
| | % |
| 42. Different hierarchical levels strive for high performance goals | 10.6 |
| 44. Concern for performance and control throughout the organizations | 14.7 |
| 46. Review and control done at all organizational levels | 11.1 |

These major changes indicate that the subordinates find their organizations more supportive and better in communications while the employees are seen as having better attitudes toward the system, greater commitment to its goals, and are in general more satisfied.

The first two sections of this systems impact evaluation have substantiated the fact that rather consistent improvements occurred in both the behavior of the participants and the functioning of the organizations they belong to. One limitation in interpretation is that the information merely indicates what changes developed, on the average, during the six months following the Summer Institute. Mean scores are simply measures of central tendency, they provide no insight into the nature of the underlying distribution. If the Mean scores were from bell shaped distributions, a conclusion would be that most participants found themselves and their organizations moderately changed since last summer. An alternative possibility could be that the Mean scores reflect a widely varying bimodal distribution such that the moderate Means are actually the consequence of two separate trends, one group of participants who were very strongly affected by the Institute and a second group which remained unaltered.

Since it would be very useful to know whether the initial findings are due to moderate improvements uniformly affecting most participants or some dichotomy with certain persons benefiting far more than others, the next two sections will describe methods by which information was collected to provide answers to these questions.

C. A Comparison of Organizational Systems

One approach has been to investigate whether persons from different types of correctional organizations differentially benefited from the Summer Institute. In particular, comparisons were made between persons belonging to systems providing adult services and those concentrating on juvenile services. A second comparison focused on whether the primary function was institutional, parole, or community services. One further analysis determined whether the locus of the participatory agencies, city, state, or county, had any bearing upon the extent to which changes developed.

Table 5 summarizes separately the extent to which participants and their subordinates from both adult and juvenile oriented organizations reported change in work behavior and in organizational characteristics. The data indicate that subordinates in both adult and juvenile services report moderate and rather equal degree of change on both dimensions; work behavior and organizational characteristics. For the participants, however, while both types perceived moderate change in the characteristics of their organizations, those representing adult systems did not feel they changed to any appreciable extent whereas juvenile oriented participants felt that they had experienced a moderate degree of change. Although the other responses indicate that changes in behavior were perceived by their subordinates

Table 5.--Comparison of Changes for Participants Engaged in Adult Versus Juvenile Services

| Item | Extent of Change in Work Behavior | | | |
|---|-----------------------------------|----------|--------------|----------|
| | Participants | | Subordinates | |
| | Adult | Juvenile | Adult | Juvenile |
| I. Program Development.. | 3.4 | 11.6 | 7.6 | 5.0 |
| II. Training and Development of Staff.... | .5 | 12.1 | 8.0 | 1.9 |
| III. Communications..... | -4.7 | 6.8 | 12.7 | 8.3 |
| IV. Evaluations and Research..... | 4.0 | 4.3 | 4.8 | 6.6 |
| V. Leadership | 2.1 | 4.2 | 8.4 | 7.2 |
| VI. Group Decision Making | 3.2 | 3.0 | 1.8 | -.2 |
| Overall..... | .85 | 6.1 | 6.9 | 5.2 |

| Item | Extent of Change in Organizational Characteristics | | | |
|-------------------------------------|--|----------|--------------|----------|
| | Participants | | Subordinates | |
| | Adult | Juvenile | Adult | Juvenile |
| I. Leadership..... | -8.7 | 4.4 | 1.9 | 16.0 |
| II. Motivational Forces.. | 10.3 | -5.0 | 22.2 | 15.7 |
| III. Communications..... | 8.2 | 7.8 | -6.3 | 3.2 |
| IV. Interaction..... | 6.8 | -.2 | 21.2 | 4.6 |
| V. Decision Making..... | 5.7 | 3.9 | 2.6 | 3.3 |
| VI. Goal Setting..... | 10.0 | 18.1 | 14.4 | 16.5 |
| VII. Control Process..... | 3.0 | 10.7 | 9.6 | 12.6 |
| VIII. Performance and Training..... | 4.3 | 6.1 | 9.6 | 2.9 |
| Overall..... | 5.6 | 4.8 | 6.3 | 7.9 |

ates and changes occurred in the organizations themselves, the adult participants were apparently unaware of their changing roles. The evidence suggests that both types of participants benefited sufficiently to justify representation in any future Institutes, but that special attention should be directed toward assisting those from adult systems to be conscious of possible behavior changes and their organizational consequences. Particularly interesting is that the participants felt they had changed very little in communications, program development, training and development, and leadership while their subordinates reported that much change had occurred.

A comparison of participants on the basis of involvement in either institutional, parole, or community related functions indicates that some differential impact has occurred. Participants of institutional systems benefited the most of the three types of organizations. Both the participants and subordinates from institutions reported moderate or better change on 67% of the work behavior dimensions. Participants reported that the organization also changed on 63% of the 8 factors and subordinates claimed changes for 88% of the factors. Representatives of parole systems also reported considerable change, although to a lesser degree than did the institutional types. Participants and their subordinates report moderate or better improvements on half the work behavior dimensions and more than half (63 and 75 per cent) of the organizational characteristics. Community service participants, however, appear to be relatively unaffected on many of the dimensions measured. Relative to the institutional and parole related participants, the effects were quite small and suggest either that executives involved in community activities within corrections be

excluded from any future Institutes or else that the curriculum be modified so as to be more meaningful for these particular types. (Table 6)

An analysis of systems impact on the basis of state, city, or county affiliation of participants also reveals that the Institute had differential effects. The summer program proved very effective as a means of changing the behavior of the city based participants (participants report moderate or better improvements on 66% of work behavior dimensions, subordinates on 88%). While state based participants did less well, participants did feel they changed at least moderately for 50% of the categories and their subordinates perceived such improvements on 66% of the 6 dimensions. In comparison county affiliated participants reported significant change on only one dimension, evaluation and research, and their subordinates perceived no improvements at all. City based participants experienced substantial improvements (over 10%) in program development, communications, and evaluation and research and their staff felt that their leadership and their training and development activities also improved more than 10%. (Table 7) The implication is again that any further Institutes must either select more discriminately in the future by screening out county affiliated persons from the potential participants or else modify the program so that it becomes more relevant or at least more effective in achieving its objectives.

In the context of perceived changes in organizational systems, all three types were seen by both participants and subordinates as changing moderately subsequent to the convening of the Summer Institute.

These three special analyses which distinguished between systems have indicated that the Summer Institute was differentially effective in

Table 6.--Comparison of Changes for Participants Involved in Institutional, Parole, and Community Services

| Item | Extent of Change in Work Behavior | | | | | |
|--|-----------------------------------|--------|----------------|--------------------|--------|----------------|
| | Participants | | | Subordinates | | |
| | Institu- tional | Parole | Commu- nity | Institu- tional | Parole | Commu- nity |
| I. Program Development.. | 4.8 | 17.4 | - .9 | 4.1 | 7.5 | 19.5 |
| II. Training and Devel- opment of Staff.... | 12.5 | 6.2 | -2.8 | 6.5 | 2.2 | 18.2 |
| III. Communications..... | 8.3 | -6.5 | -0.6 | 11.7 | 6.1 | 19.7 |
| IV. Evaluations and Re- search..... | 2.8 | 8.7 | 3.1 | 9.3 | -3.2 | 19.9 |
| V. Leadership..... | 7.7 | -1.3 | 2.6 | 6.3 | 6.4 | 18.7 |
| VI. Group Decision Making | 7.6 | -2.2 | 1.1 | 4.1 | -3.1 | 2.9 |
| Overall..... | 7.4 | 1.4 | .73 | 6.9 | 5.5 | 15.8 |

| Item | Extent of Change in Organizational Characteristics | | | | | |
|--|---|--------|----------------|--------------------|--------|----------------|
| | Participants | | | Subordinates | | |
| | Institu- tional | Parole | Commu- nity | Institu- tional | Parole | Commu- nity |
| I. Leadership..... | -1.2 | 7.7 | -11.6 | 15.6 | 12.5 | 10.4 |
| II. Motivational Forces.. | 4.4 | .4 | 12.1 | 17.1 | 24.9 | 7.7 |
| III. Communications..... | 11.8 | 10.5 | 5.2 | 3.9 | 1.1 | - .9 |
| IV. Interaction..... | 7.8 | -1.2 | - .4 | 8.7 | 17.2 | - 4.2 |
| V. Decision Making..... | 10.1 | 10.8 | - 2.0 | 8.1 | 3.4 | 5.7 |
| VI. Goal Setting..... | 19.4 | 16.2 | 7.6 | 22.1 | 21.1 | - 3.6 |
| VII. Control Process..... | 15.0 | - .9 | 5.3 | 8.6 | 20.8 | 4.1 |
| VIII. Performance and Training..... | 3.8 | 12.9 | 3.8 | 6.7 | 21.3 | -22.1 |
| Overall..... | 8.9 | 7.3 | 2.0 | 9.7 | 11.7 | 1.3 |

Table 7.--Comparison of Changes for Participants on the Basis of Locus: State, City, County

| Item | Extent of Change in Work Behavior | | | | | |
|---|-----------------------------------|------|--------|--------------|------|--------|
| | Participants | | | Subordinates | | |
| | State | City | County | State | City | County |
| I. Program Development.. | 6.0 | 13.3 | - 2.6 | 3.8 | 18.8 | 3.2 |
| II. Training and Development of Staff.... | 6.5 | 2.8 | 2.1 | 5.1 | 15.6 | 2.6 |
| III. Communications..... | 2.3 | 17.1 | -16.2 | 8.4 | 14.1 | (4.4) |
| IV. Evaluations and Research..... | -5.6 | 24.4 | 12.5 | 8.8 | 10.4 | 4.2 |
| V. Leadership..... | 3.1 | 3.1 | 3.2 | 13.9 | 11.6 | 4.0 |
| VI. Group Decision Making | 5.8 | 6.1 | - 6.0 | 3.3 | 4.6 | (7.9) |
| Overall..... | 3.5 | 9.2 | - 3.6 | 7.7 | 11.3 | .7 |

| Item | Extent of Change in Organizational Characteristics | | | | | |
|-------------------------------------|--|------|--------|--------------|------|--------|
| | Participants | | | Subordinates | | |
| | State | City | County | State | City | County |
| I. Leadership..... | -.9 | -8.5 | .7 | 14.3 | 2.0 | 8.6 |
| II. Motivational Forces.. | 1.8 | 5.3 | 11.8 | 13.8 | 13.1 | 27.9 |
| III. Communications..... | 8.4 | 13.6 | 2.8 | -2.1 | 2.7 | 3.6 |
| IV. Interaction..... | 4.5 | 2.8 | 2.7 | 9.4 | -5.5 | 22.7 |
| V. Decision Making..... | 1.6 | 13.5 | 13.8 | 2.9 | 3.7 | 5.4 |
| VI. Goal Setting..... | 9.3 | 14.8 | 21.3 | 16.4 | 2.8 | 22.9 |
| VII. Control Process..... | 10.5 | .9 | 9.9 | 5.9 | 1.3 | 13.6 |
| VIII. Performance and Training..... | 1.7 | 14.6 | 6.7 | 5.2 | 11.0 | 2.2 |
| Overall..... | 5.7 | 8.0 | 7.5 | 5.9 | 4.8 | 9.2 |

producing change but has succeeded in creating substantial improvements in both the behavior of the participants and the functioning of their organizational systems for the large majority of those who attended.

D. Field Trips

Personal visits to the job locations of a sample consisting of twenty per cent of the participants provided further insight concerning the extent and variability in systems impact which developed between organizations. Information was systematically acquired through interviews with the participants and several members of their staffs. In addition to providing direct access to subordinates, the trips enabled the questioning of participants within their natural environment where they might feel more comfortable about responding directly and forwardly. Responses made in interviews conducted at the training location would be more susceptible to biasing since there exists both the influence which develops from a strong awareness of how other participants feel and a greater need to say what they think is expected.

A considerable portion of the visit was directed toward the topic of the work projects. To some extent, it could be argued that a participant's degree of seriousness concerning the work projects is a sensitive indicator of his or her reaction to the Institute in general, and that the success of the work project reflects the quality of the learning and the supportiveness of the organization for that system. From this perspective, the differential fate of the work projects at the various locations was directly responsible for the initiation of some specially developed project.

(Of those 65% who reported on a project, roughly 54% were very effective, 30% were moderately effective, and 16% were unsuccessful.)

The unsuccessful programs all appeared to have been undermined by one major obstacle, lack of support from above. While other parts of these systems, including both peers and subordinates, reacted favorably to the projects, it became clear that failures developed whenever superiors decided that the projects were inappropriate in either timing, expense, or objectives. It must be mentioned that in other instances, superiors also refused to lend support, but were willing to approve the projects under the stipulation that the participants would bear full responsibility should any complications or crises develop. It is very unfortunate that several bosses proved unsupportive for many of the ideas which developed out of the summer experience. This feedback indicates that even more of an effort should be made during any future institutes to gain the involvement and commitment of the participants' superiors for both the principles that are presented and the changes that are subsequently attempted.

Roughly half of the participants visited had implemented projects which could be described as moderately successful or better. While a few projects had actually been in the works prior to attendance at the Summer Institute, most were precipitated by the program itself and even those which had already begun were typically modified in both scope and method of implementation as a consequence of the experiences during the three weeks. A general conclusion concerning the work projects is that they were responsible for producing a significant organizational change within the systems of approximately half the participants visited and that the nature of the changes were highly diverse, some focusing on improvements in the

internal operations of the organizations while others related to changes in the external functions or services that were provided.

A second objective of the field interviews was to determine whether any other organizational changes had occurred since the summer which could be identified by the participants and their staff members. Most field trips indicated that some additional changes had been detected in addition to the specific work project. Certain changes were particularly prevalent. Improved and more frequent professional communications with correctional personnel in other states, generally with reference to the personal contacts made during the Institute, were reported from 87% of the sample. Many participants remarked that they actually considered the contacts developed and the opportunity to discover how their operations compared with the functioning of others in different locations to be the two most invaluable attributes of the whole Institute, those aspects which could not have been made available locally through some state or in house training arrangement.

In nearly 40% of the field visits, subordinates indicated that their bosses (the participants) were more self confident and aggressive following the summer experience. The process of being selected as a participant and having so many resources made available for their benefit has had the effect of communicating a feeling of importance to the participants. The format of the Institute, with its focus on the ability of participants to be change agents and effect changes within their systems, also contributed to this feeling of self determinism. Given these factors, it is really not surprising that confidence and aggressiveness have been unanticipated consequences of participation in the Summer Institute. Another

feeling showed by subordinates, no doubt largely influenced by the introduction of the work projects, is that their bosses have become more innovative.

Participants' relationships with their staffs were also quite favorably affected. Frequent references were made to the improved communications with staff that had developed following the summer program. Subordinate respondents also felt they were being better utilized as resources, that their morale has improved as a result of being treated differently, and that group techniques were being more effectively employed within their departments in the planning of goals and making of decisions. The use of groups to increase the involvement of staff members and the quality of their contributions has been a direct consequence of favorable participant reaction to the group experiences they were exposed to throughout their training. Many participants felt that if the approach had been effective for them, it could also have a strong impact upon their staff members; and they were apparently quite correct.

In addition to these systematic changes in behavior which were reported during field interviews, participants made constant mention of the cognitive improvements they had experienced. Most of those persons who attended the program report that they are now more knowledgeable, that they have acquired many new ideas, that they have developed a greater appreciation for the need to change, that they know their staff members and bosses better as a result of activities which resulted from the program, and that they know more about themselves. The primary impression created from the field trip experiences has been that many changes have occurred within the systems as a result of the Summer Institute; some intended, some unintended, most favorable. While some persons and some systems have benefited

more than others, the overall conclusion appears to be that the Summer Institute has indeed produced some meaningful system changes, a conclusion which both the participants and the systems impact consultant found surprising considering what appeared to be the initial reactions to the experience. It seems that some participants in retrospect have discovered much of value in the Institute which had been overlooked in their initial reactions to it.

What should this systems impact information suggest about the utility of the Institute for Criminal Justice Executives as a concept? All of the participants interviewed recommended that the Institute be continued in future years. While they differed in what they perceived to be the quality of the program as it currently is designed (25% described it as the best program they have ever attended and 25% thought it was considerably less effective than others they had experienced), all felt that its present and potential value justified its being repeated. The changes that occurred in the job behavior of the participants and in the organization characteristics of the systems they belonged to reinforce this conclusion that the concept has been worthwhile. Significant impact within the organization appears to have developed as a consequence of the summer program.

Participants made several suggestions which they felt would improve the effectiveness of any future institutes. The most prevalent recommendations were as follows:

1. Make better use of the participants as resource persons (this was done during the fourth week).
2. Make more use of small groups to increase both the involvement of the participants and what they may learn.
3. Allow for more frequent interaction between participants along functional lines.
4. Reduce the length of time that the participants must attend a session (three weeks too long to be away at one time).
5. More careful screening so that participants are more homogeneous in their need for training.
6. Spend some time on the problem of changing or getting the support of other parts of the criminal justice system.

Other suggestions which the field consultant recognized as a consequence of the systems evaluation include:

1. Spending more time involving the bosses of the participants and committing them to the objectives of the Institute.
2. Eliminating certain types of participants, or more preferably, making the Institute meaningful for all of the diverse types who are included.
3. Determining in advance the extent of previous training which potential participants have experienced and the nature of their additional needs in the area.

4. More emphasis on the development of participant ability to serve as change agents within their organizations.
5. Eliminating those few participants who occupied lower levels than the majority and possessed fewer managerial responsibilities.

Such modifications should help to improve the effectiveness of the program and generate more favorable reactions from the participants. The first Institute has produced some significant systems changes and future ones could prove even more beneficial.

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APPENDIX

WORK BEHAVIOR PROFILE

A. PROGRAM DEVELOPMENT

1. Effectiveness in developing programs

very effective

very ineffective

2. Effectiveness in implementing programs

very effective

very ineffective

3. Effectiveness in funding programs

very effective

very ineffective

4. Effectiveness in gaining staff acceptance and support

very effective

very ineffective

5. Relevance and usefulness of programs developed

very effective

very ineffective

B. TRAINING AND DEVELOPMENT OF STAFF

6. Concern with staff development

very concerned

very unconcerned

7. Effectiveness in developing or arranging training programs which are appropriate for staff needs

very effective ----- very ineffective

8. Structuring of staff positions to provide opportunity for staff to learn and improve skill level while performing job

considerable opportunity ----- no opportunity

C. COMMUNICATIONS

9. Frequency of communications with colleagues based in other states

very frequently ----- very infrequently

10. Usefulness of these communications

very useful ----- very useless

11. Frequency of communications with superiors

very frequently ----- very infrequently

12. Usefulness of these communications

very useful ----- very useless

13. Frequency of communications with subordinates

very frequently ----- very infrequently

14. Usefulness of these communication

very useful ----- very useless

15. Frequency of communications with representatives of other criminal justice system components performing different services

very frequently ----- very infrequently

16. Usefulness of these communications

very useful ----- very useless

17. Overall ability to communicate effectively with others

very successful ----- very unsuccessful

D. EVALUATION AND RESEARCH

18. Importance placed on hard data in forming opinions or making decisions

considered very important ----- considered very unimportant

19. Collection of research and evaluation data pertaining to functional responsibilities

done regularly ----- done never

20. Importance placed on the acquisition and analysis of research reports related to corrections

very important ----- very unimportant

E. LEADERSHIP

- 21. Is accessible to staff personnel

 most of the time _____ little of the time
- 22. Sensitivity to staff feelings and needs

 very sensitive _____ very insensitive
- 23. Is responsive to suggestions and ideas of others

 very responsive _____ very unresponsive
- 24. Encourages others to openly express their ideas and opinions

 often _____ rarely
- 25. Defends and supports members of staff under fire

 often _____ rarely
- 26. Maintains close control over activities of staff

 often _____ rarely
- 27. Is willing to delegate responsibility to staff whenever possible

 always true _____ never true
- 28. Permits staff discretion over the way they perform their responsibilities

 often _____ rarely
- 29. Encourages staff to set their own job objectives

 in all instances _____ in no instances

- 30. Regularly provides staff members with feedback on their job performance as it relates to established objectives

 Is always the case _____ is never the case
- F. GROUP DECISION MAKING
- 31. Consults staff before making decisions

 in most instances _____ never
- 32. Permits staff to actually make operating decisions

 regularly _____ never
- 33. Solicits group opinions

 before forming an opinion _____ after forming an opinion
- 34. Is more interested in gaining support for personal preferences than in hearing different suggestions expressed

 very true _____ not true at all
- 35. Plays a dominant role in group meetings

 very true _____ not true at all
- 36. Encourages participation by total group

 everyone participates _____ only the most vocal participate
- 37. Group issues are generally

 on important issues _____ on trivial issues
- 38. The meetings are generally

 well run _____ chaotic

PROFILE OF ORGANIZATIONAL CHARACTERISTICS

Instructions:

On the lines below each organizational variable (item), please place an *n* in the interval (between the lines) at the point which, in your experience, describes your organization at the present time (*n* = now). Treat each item as a continuous variable from the extreme at one end to that at the other.

| Organizational variable | 1 | 2 | 3 | 4 | 5 | 6 | 7 | Item no. |
|---|---|---|--|--|---|---|---|----------|
| 1. Leadership processes used | | | | | | | | |
| a. Extent to which superiors have confidence and trust in subordinates | Have no confidence and trust in subordinates | Have condescending confidence and trust, such as master has in servant | Substantial but not complete confidence and trust; still wishes to keep control of decisions | Complete confidence and trust in all matters | | | | 1 |
| b. Extent to which subordinates, in turn, have confidence and trust in superiors | Have no confidence and trust in superiors | Have subservient confidence and trust, such as servant has to master | Substantial but not complete confidence and trust | Complete confidence and trust | | | | 2 |
| c. Extent to which superiors display supportive behavior toward others | Display no supportive behavior or virtually none | Display supportive behavior in condescending manner and situations only | Display supportive behavior quite generally | Display supportive behavior fully and in all situations | | | | 3 |
| d. Extent to which superiors behave so that subordinates feel free to discuss important things about their jobs with their immediate superior | Subordinates feel completely free to discuss things about the job with their superior | Subordinates feel rather free to discuss things about the job with their superior | Subordinates do not feel very free to discuss things about the job with their superior | Subordinates do not feel at all free to discuss things about the job with their superior | | | | 4 |
| e. Extent to which immediate superior in solving job problems generally tries to get subordinates' ideas and opinions and make constructive use of them | Always gets ideas and opinions and always tries to make constructive use of them | Usually gets ideas and opinions and usually tries to make constructive use of them | Sometimes gets ideas and opinions of subordinates in solving job problems | Seldom gets ideas and opinions of subordinates in solving job problems | | | | 5 |
| 2. Character of motivational forces | | | | | | | | |
| a. Underlying motives tapped | Physical security, economic needs, and some use of the desire for status | Economic needs and moderate use of ego motives, e.g., desire for status, affiliation, and achievement | Economic needs and considerable use of ego and other major motives, e.g., desire for new experiences | Full use of economic, ego, and other major motives, as, for example, motivational forces arising from group goals | | | | 6 |
| b. Manner in which motives are used | Fear, threats, punishment, and occasional rewards | Rewards and some actual or potential punishment | Rewards, occasional punishment, and some involvement | Economic rewards based on compensation system developed through participation; group participation and involvement in setting goals, improving methods, appraising progress toward goals, etc. | | | | 7 |

| | | | | | | | | |
|--|---|--|--|---|--|--|--|----|
| c. Kinds of attitudes developed toward organization and its goals | Attitudes are strongly favorable and provide powerful stimulation to behavior implementing organization's goals | Attitudes usually are favorable and support behavior implementing organization's goals | Attitudes are sometimes hostile and counter to organization's goals and are sometimes favorable to the organization's goals and support the behavior necessary to achieve them | Attitudes usually are hostile and counter to organization's goals | | | | 8 |
| d. Extent to which motivational forces conflict with or reinforce one another | Marked conflict of forces substantially reducing those motivational forces leading to behavior in support of the organization's goals | Conflict often exists; occasionally forces will reinforce each other, at least partially | Some conflict, but often motivational forces will reinforce each other | Motivational forces generally reinforce each other in a substantial and cumulative manner | | | | 9 |
| e. Amount of responsibility felt by each member of organization for achieving organization's goals | Personnel at all levels feel real responsibility for organization's goals and behave in ways to implement them | Substantial proportion of personnel, especially at higher levels, feel responsibility and generally behave in ways to achieve the organization's goals | Managerial personnel usually feel responsibility; rank and file usually feel relatively little responsibility for achieving organization's goals | High levels of management feel responsibility; lower levels feel less; rank and file feel little and often welcome opportunity to behave in ways to defeat organization's goals | | | | 10 |
| f. Attitudes toward other members of the organization | Favorable, cooperative attitudes throughout the organization with mutual trust and confidence | Cooperative, reasonably favorable attitudes toward others in organization; may be some competition between peers with resulting hostility and some condescension toward subordinates | Subservient attitudes toward superiors; competition for status resulting in hostility toward peers; condescension toward subordinates | Subservient attitudes toward superiors coupled with hostility toward peers and contempt for subordinates; distrust is widespread | | | | 11 |
| g. Satisfaction derived | Relatively high satisfaction throughout the organization with regard to membership in the organization, supervision, and one's own achievements | Some dissatisfaction to moderately high satisfaction with regard to membership in the organization, supervision, and one's own achievements | Dissatisfaction to moderate satisfaction with regard to membership in the organization, supervision, and one's own achievements | Usually dissatisfaction with membership in the organization, with supervision, and with one's own achievements | | | | 12 |
| 3. Character of communication process | | | | | | | | |
| a. Amount of interaction and communication aimed at achieving organization's objectives | Very little | Little | Quite a bit | Much with both individuals and groups | | | | 13 |
| b. Direction of information flow | Downward | Mostly downward | Down and up | Down, up, and with peers | | | | 14 |
| c. Downward communication | | | | | | | | |
| (1) Where initiated | Initiated at all levels | Patterned on communication from top but with some initiative at lower levels | Primarily at top or patterned on communication from top | At top of organization or to implement top directive | | | | 15 |
| (2) Extent to which superiors willingly share information with subordinates | Provide minimum of information | Gives subordinates only information superior feels they need | Gives information needed and answers most questions | Seeks to give subordinates all relevant information and all information they want | | | | 10 |

| | | | | | |
|--|--|--|---|---|----|
| (3) Extent to which communications are accepted by subordinates | Generally accepted, but if not, openly and candidly questioned | Often accepted but, if not, may or may not be openly questioned | Some accepted and some viewed with suspicion | Viewed with great suspicion | 17 |
| d. Upward communication | | | | | |
| (1) Adequacy of upward communication via line organization | Very little | Limited | Some | A great deal | 18 |
| (2) Subordinates' feeling of responsibility for initiating accurate upward communication | None at all | Relatively little, usually communicates "filtered" information and only when requested; may "yes" the boss | Some to moderate degree of responsibility to initiate accurate upward communication | Considerable responsibility felt and much initiative; group communicates all relevant information | 19 |
| (3) Forces leading to accurate or distorted upward information | Virtually no forces to distort and powerful forces to communicate accurately | Occasional forces to distort along with many forces to communicate accurately | Many forces to distort; also forces for honest communication | Powerful forces to distort information and deceive superiors | 20 |
| (4) Accuracy of upward communication via line | Accurate | Information that boss wants to hear flows; other information may be limited or cautiously given | Information that boss wants to hear flows; other information is restricted and filtered | Tends to be inaccurate | 21 |
| (5) Need for supplementary upward communication system | No need for any supplementary system | Slight need for supplementary system; suggestion systems may be used | Upward communication often supplemented by suggestion system and similar devices | Great need to supplement upward communication by spy system, suggestion system, and similar devices | 22 |
| e. Sideward communication, its adequacy and accuracy | | | | | |
| (1) How well does superior know and understand problems faced by subordinates? | Knows and understands problems of subordinates very well | Knows and understands problems of subordinates quite well | Has some knowledge and understanding of problems of subordinates | Has no knowledge or understanding of problems of subordinates | 25 |
| (2) How accurate are the perceptions by superiors and subordinates of each other? | Often in error | Often in error on some points | Moderately accurate | Usually quite accurate | 26 |
| 4. Character of interaction-influence process | | | | | |
| a. Amount and character of interaction | Extensive, friendly interaction with high degree of confidence and trust | Moderate interaction, often with fair amount of confidence and trust | Little interaction and usually with some condescension by superiors; fear and caution by subordinates | Little interaction and always with fear and distrust | |

| | | | | | |
|---|--|---|---|--|----|
| b. Amount of cooperative teamwork present | Very substantial amount throughout the organization | A moderate amount | Relatively little | None | 28 |
| c. Extent to which subordinates can influence the goals, methods, and activity of their units and departments | | | | | |
| (1) As seen by superiors | None | Virtually none | Moderate amount | A great deal | 29 |
| (2) As seen by subordinates | None except through "informal organization" or via unionization | Little except through "informal organization" or via unionization | Moderate amount both directly and via unionization (where it exists) | Substantial amount both directly and via unionization (where it exists) | 30 |
| d. Amount of actual influence which superiors can exercise over the goals, activity, and methods of their units and departments | | | | | |
| (1) As seen by superiors | Believed to be substantial but actually moderate unless capacity to exercise severe punishment is present | Moderate to somewhat more than moderate, especially for higher levels in organization | Moderate to substantial, especially for higher levels in organization | Substantial but often done indirectly, as, for example, by superior building effective interaction-influence system | 31 |
| (2) As seen by subordinates | Highly effective structure exists enabling exercise of influence in all directions | Moderately effective structure exists; influence exerted largely through vertical lines | Limited capacity exists; influence exerted largely via vertical lines and primarily downward | Effective structure virtually not present | 32 |
| 5. Character of decision-making process | | | | | |
| a. At what level in organization are decisions formally made? | Bulk of decisions at top of organization | Policy at top, many decisions within prescribed framework made at lower levels but usually checked with top before action | Broad policy decisions at top, more specific decisions at lower levels | Decision making widely done throughout organization, although well integrated through linking process provided by overlapping groups | 33 |
| b. How adequate and accurate is the information available for decision making at the place where the decisions are made? | Information is generally inadequate and inaccurate | Information is often somewhat inadequate and inaccurate | Reasonably adequate and accurate information available | Relatively complete and accurate information available based both on measurements and efficient flow of information in organization | 34 |
| c. To what extent are decision makers aware of problems, particularly those at lower levels in the organization? | Generally quite well aware of problems | Moderately aware of problems | Aware of some, unaware of others | Often are unaware or only partially aware | 35 |
| d. Extent to which technical and professional knowledge is used in decision making | Used only if possessed at higher levels | Much of what is available in higher and middle levels is used | Much of what is available in higher, middle, and lower levels is used | Most of what is available anywhere within the organization is used | 36 |
| e. Are decisions made at the best level in the organization as far as (1) Availability of the most adequate and accurate information bearing on | Overlapping groups and group decision processes tend to push decisions to point where information is most adequate | Some tendency for decisions to be made at higher levels than where most adequate and accurate information exists | Decisions often made at levels appreciably higher than levels where most adequate and accurate information exists | Decisions usually made at levels appreciably higher than levels where most adequate and accurate information | |

| | | | | | |
|--|---|--|---|---|----|
| (2) The motivational consequences (i.e., does the decision-making process help to create the necessary motivations in those persons who have to carry out the decision?) | Substantial contribution by decision-making processes to motivation to implement | Some contribution by decision making to motivation to implement | Decision making contributes relatively little motivation | Decision making contributes little or nothing to the motivation to implement the decision, usually yields adverse motivation | 38 |
| f. To what extent are subordinates involved in decisions related to their work? | Not at all | Never involved in decisions; occasionally consulted | Usually are consulted but ordinarily not involved in the decision making | Are involved fully in all decisions related to their work | 39 |
| g. Is decision making based on man-to-man or group pattern of operation? Does it encourage or discourage teamwork? | Man-to-man only, discourages teamwork | Man-to-man almost entirely, discourages teamwork | Both man-to-man and group, partially encourages teamwork | Largely based on group pattern, encourages teamwork | 40 |
| 6. Character of goal setting or ordering | | | | | |
| a. Manner in which usually done | Except in emergencies, goals are usually established by means of group participation | Goals are set or orders issued after discussion with subordinates and planned action | Orders issued, opportunity to comment may or may not exist | Orders issued | 41 |
| b. To what extent do the different hierarchical levels tend to strive for high performance goals? | High goals sought by all levels, with lower levels sometimes pressing for higher goals than top levels | High goals sought by higher levels but with occasional resistance by lower levels | High goals sought by top and often resisted moderately by subordinates | High goals pressed by top, generally resisted by subordinates | 42 |
| c. Are there forces to accept, resist, or reject goals? | Goals are overtly accepted but are covertly resisted strongly | Goals are overtly accepted but often covertly resisted to at least a moderate degree | Goals are overtly accepted but at times with some covert resistance | Goals are fully accepted both overtly and covertly | 43 |
| 7. Character of control processes | | | | | |
| a. At what hierarchical levels in organization does major or primary concern exist with regard to the performance of the control function? | At the very top only | Primarily or largely at the top | Primarily at the top but some shared feeling of responsibility felt at middle and to a lesser extent at lower levels | Concern for performance of control functions likely to be felt throughout organization | 44 |
| b. How accurate are the measurements and information used to guide and perform the control function, and to what extent do forces exist in the organization to distort and falsify this information? | Strong pressures to obtain complete and accurate information to guide own behavior and behavior of own and related work groups; hence information and measurements tend to be complete and accurate | Some pressure to protect self and colleagues and hence some pressures to distort; information is only moderately complete and contains some inaccuracies | Fairly strong forces exist to distort and falsify; hence measurements and information are often incomplete and inaccurate | Very strong forces exist to distort and falsify; as a consequence, measurements and information are usually incomplete and often inaccurate | 45 |
| c. Extent to which the review and control functions are concentrated | Highly concentrated in top management | Relatively highly concentrated, with some delegated control to middle and lower levels | Moderate downward delegation of review and control processes; lower as well as higher levels perform these tasks | Review and control done at all levels with lower units at times imposing more vigorous reviews and tighter controls than top management | 46 |

| | | | | | |
|---|---|--|--|--|----|
| d. Extent to which there is an informal organization present and supporting or opposing goals of formal organization | Informal organization present and opposing goals of formal organization | Informal organization usually present and partially resisting goals | Informal organization may be present and may either support or partially resist goals of formal organization | Informal and formal organization are one and the same; hence all social forces support efforts to achieve organization's goals | 47 |
| e. Extent to which control data (e.g., accounting, productivity, cost, etc.) are used for self-guidance or group problem solving by managers and non-supervisory employees, or used by superiors in a punitive, policing manner | Used for policing and in punitive manner | Used for policing coupled with reward and punishment, sometimes punitively; used somewhat for guidance but in accord with orders | Used for policing with emphasis usually on reward but with some punishment; used for guidance in accord with orders; some use also for self-guidance | Used for self-guidance and for coordinated problem solving and guidance; not used punitively | 48 |
| 8. Performance goals and training | | | | | |
| a. Level of performance goals which superiors seek to have organization achieve | Seek to achieve extremely high goals | Seek very high goals | Seek high goals | Seek average goals | 49 |
| b. Extent to which you have been given the kind of management training you desire | Have received no management training of kind I desire | Have received some management training of kind I desire | Have received quite a bit of management training of kind I desire | Have received a great deal of management training of kind I desire | 50 |
| c. Adequacy of training resources provided to assist you in training your subordinates | Training resources provided are excellent | Training resources provided are very good | Training resources provided are good | Training resources provided are only fairly good | 51 |



GENERAL APPENDICES

APPENDIX A

PARTICIPANTS LISTING

SUMMER INSTITUTE FOR CRIMINAL JUSTICE EXECUTIVES

July 9-29, 1972

Phase I

ANDERSON, Robert O.
Associate Warden
Federal Youth Center
Ashland, Kentucky 41101

ANDERSON, Rufus S.
Lieutenant
Detroit Police Department
1300 Beaubien
Detroit, Michigan 48226

AXELROD, Albert
Superintendent
Highfields Residential Group Center
Hopewell, New Jersey 08525

BAER, Margaret
Regional Supervisor of Parole
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Branch Chief
Office of Probation
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BRIGHT Robert
Administrator
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Youth Aid Bureau
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Family Court Division
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CONTINUED

2 OF 3

APPENDIX D

FIELD OBSERVATIONS

INSTITUTE FOR CRIMINAL JUSTICE EXECUTIVES

As part of Phase I of the Institute for Criminal Justice Executives field visits to correctional settings in Illinois were planned. The intent of the field observations was to provide participants with on-site experiences at various components of the criminal justice system. It was assumed that a participant observing programs of system components different from his own (a juvenile probations director visiting an adult institution) would learn about another component of the system and that a participant observing a program in the same component as his own (a warden of an adult institution visiting an adult institution) would learn about techniques and practices outside his home state. It also was assumed that a learning experience outside the classroom would break the potential monotony of a single environment for Phase I.

Several factors created less than optimal field observation experiences:

1. The short lead time for the entire program meant that field sites had to be chosen hastily.
2. Lack of biographical data on participants in advance of Phase I meant that field sites had to be chosen without consideration of what participants would like to observe (or might need to observe).
3. A full classroom schedule relegated field observations times to weekends and evenings.
4. No one on the project staff was able to devote his attention exclusively to field observation planning.

Primarily through the cordiality and responsiveness of several individuals in Illinois corrections, nine field observation sites were arranged:

Institutional Sites: Valley View Boys School, St. Charles, Illinois
(minimum security, juvenile)

Vienna Correctional Center, Vienna, Illinois
(minimum security, adult)

| | |
|--|--|
| | Cook County Jail, Chicago, Illinois (county jail, adult) |
| <u>Community Treat- ment Sites:</u> | Probation Officer Case Aid Program, Chicago, Illinois (probations, juvenile) |
| | The DEPOT, Chicago, Illinois (referral and treatment, families) |
| | Safari House, Chicago, Illinois (halfway house, Illinois Drug Abuse Program) |
| | Black P. Stone Nation, Chicago, Illinois (tour of low income neighborhood conducted by gang officer) |
| <u>Law Enforcement Site:</u> | Chicago Police Department (ride-alongs with officers) |
| <u>Technical Devel- opment Site:</u> | Stateville Computer Center, Stateville, Illinois (computer center of the Illinois Department of Corrections Division of Research and Long-Range Planning) |

Participants signed up for field observations on the evening before the classroom sessions began. Brief descriptions of each field site were provided, and participants were told that they must visit either Vienna Correctional Center or Valley View Boys School and either Cook County Jail or the Stateville Computer Center. (As the program progressed, the Participant Steering Committee indicated that the required field observations were causing some dissention within the participant group and all field trips were made optional.)

All participants visited at least one field site; many visited several. In order to evaluate the field experiences, each participant was asked to complete a questionnaire concerning each field site he visited and a separate questionnaire about the field observations in general. Thirty-three of the thirty-nine participants (85%) returned the general information questionnaire. Similar percentages returned the questionnaires dealing with the individual field sites they visited; these returns will not be summarized here because the information was collected primarily for the hosts at each field site.

The general information questionnaire contained four items:

1. Rate the extent to which the field observations fulfilled the objective of supplementing lecture and discussion materials. [Responses were to be marked on a ten point scale, with 1 equal to "not at all" and 10 equal to "very well."]

2. Please number in order of preference (1 is "most preferred") the types of field observations you think most valuable: () Institutional Visit, () Community Treatment Program, () Law Enforcement, () Visit Emphasizing Technological Development, () the Courts.
3. To what extent do you think the time and effort expended on field observations could have been more profitably used
 - a. for other planned activities
 - b. as free time to allow such activities as informal meetings of participants or reading

[Responses to a. and b. were to be marked on a ten point scale, with 1 equal to "not at all" and 10 equal to "to a great extent."]
4. Do you believe field observations should be included in future institutes? [Responses were to be marked on a ten point scale, with 1 equal to "definitely not" and 10 equal to "absolutely."]

Space also was provided for any comments the participants wished to make.

Information provided through responses to the general information questionnaire indicates that, more often than not, the field observations did supplement classroom material, were more profitable expenditures of time than another planned activity or free time, and should be included in future institutes. Additionally, participants indicated a preference for the following types of field experiences (listed "most valuable" to "least valuable"): community treatment programs, institutional visits, courts, law enforcement, and technological developments.

Through their written comments, the participants provided some useful insights into changes that might be made in planning field experiences for future institutes; the four comments listed below reflect the opinions of many participants:

1. Field observations should be integrated with classroom material, with classroom discussion of the field experience both before and after it occurs. [One-half hour of classroom time was specifically devoted to discussion of field experiences.]
2. More information about the field site should be provided in advance of the field visit (e.g., what to look for, unique aspects of the field site, etc.).

3. Field site hosts should be asked to provide more than "tours" or "show-and-tell" experiences. Time should be sufficient to allow investigation of the field site's treatment methodology, management techniques, and problem solving methods. Utilization of field resource persons in planning field observations would have facilitated this.

4. Participation in field observations should be voluntary.

All of the suggestions listed above would be relatively easy to incorporate in future institutes, given adequate planning time. Additionally, with sufficient advance information concerning the participants, it would be possible, and educationally valuable, to plan field observations with enough variety for participants to observe the operations of one or more criminal justice system components.

APPENDIX E

WORK PROJECT DIARY INSTRUCTIONS

SUMMER INSTITUTE FOR CRIMINAL JUSTICE EXECUTIVES

The purpose of this record is to keep track of significant information only. "Significant information" relates to the outcomes of your project, whether successful or unsuccessful. Since it may be difficult to know at any point in time what information will prove to be significant, it is suggested that you maintain brief notes about all these points, so that you can recapture any information you may need. Summarize routine data by some appropriate time-period: weekly or biweekly. Set down the essential facts about major problems, decisions, actions, and consequences. A type-written record is not necessary. Bring the record with you when you return to the Institute for the final week.

The record should contain information about the following matters. Show dates of entries:

1. Status of the problem upon return to your agency after the three-week Summer Program.
2. Problem aspects:
 - a. Definition of the problem and relevant sub-problems and "side" problems.
 - b. Statement and analysis of pertinent facts, opinions, assumptions.
 - c. Statements of ideas for resolving problem(s) and alternatives.
 - d. Additional light gained through investigation and progress toward solution(s).
 - e. Evaluation of any of the foregoing.
3. Goal aspects:
 - a. Statements of specific goals to be selected, including sub-goals.
 - b. Changes in goal statements as a result of further analysis, changing circumstances, progress, or unanticipated obstacles.

- c. Plan of action for achieving goals, including identification of anticipated difficulties.
 - d. Role of others in the plan, with sub-plans to secure their cooperation, motivation, etc.
 - e. Time-schedule for all parts of the plan.
 - f. Tasklists, checklists, and other aids to accomplishing behavior required.
4. Achievement aspects:
- a. Essential steps in the process--what happened?
 - b. Resistences encountered--how overcome? (If not overcome, what are the effects?)
 - c. Measurement of gains--sub-goals accomplished, degrees or percentages of progress toward goals.
 - d. Consequences of actions along the way.
 - e. Nature of achievements upon completion of project.
5. New problems and further goals, projects, and plans.
6. Your own appraisal of what you have gained or learned from the entire experience.

APPENDIX F

WORK PROJECT DIARIES
 INSTITUTE FOR CRIMINAL JUSTICE EXECUTIVES

- RUFUS ANDERSON
 Development of training program aimed at reducing citizen complaints against police officers
- PEGGY BAER
 Reorganization of California Youth Authority Resources
- GEORGE B. BANET
 "Resource Coordinating Team Model" in probations
- WILDA CHEVERS
 Development of better communications between branch offices of probation in New York City
- BILL COLLINS
 Implementation of computer services for probation work operations
- BOB COOK
 Training program with supervisors of newly-merged State-County intake, probation, and parole offices
- HELEN CORROTHERS
 Development of treatment programs for woman's unit of a prison where custody is the present goal
- BILL COWLEY
 Establishing juvenile counseling centers in high delinquency areas
- MANLEY DODSON
 Coordination and communication within the "Juvenile Justice" system
- JOHN DOUGHERTY
 Use of volunteers in probation work
- JOHN GOODE
 Crisis intervention program to reduce inmate population in the Jacksonville, Florida jail
- BOB HILSON
 Program to provide maximum security facilities

DALE IMHOFF
Development of an in-service training program for probations personnel

LEW LINDE
Development of parole revocation plan consistent with due process requirements of the Morrissey decision

BOB LITTLE
Phasing out a Boys Training School and developing in its place a community-based program

CLIFF LUMPKIN
Training program with supervisors of newly-merged State-County intake, probation, and parole offices

JESS MAGHAN
Re-orientation of personnel for move into new Woman's Correctional Facility in Louisiana

JIM MITCHELL
Development of standards for counselor effectiveness in Boys' correctional institution

LLOYD MIXDORF
Development of on-going training programs for counselors in Wisconsin School for Boys

HERB SCOTT
Creation of an inmate advisory council

HARRY TOWERS
Project aimed at developing better coordination among the component agencies of the criminal justice system

LYNN UNTERBRINK
Development of leadership patterns and analysis of job functions for staff personnel

JIM WILLIS
Training in safety program

NORBERT WOODS
Training program for corrections personnel

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"Family Psychotherapy"

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"A Judges Viewpoint"

Peter Bensinger, Executive Director
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"The National Institute of Corrections: Past, Present, Future"

Stanley Brodsky, Professor
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"A Systems Perspective"

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"Administrators in Litigation"

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"A Judge's Viewpoint"

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"Family Psychotherapy"

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"A Funny Thing Happened on the Way to My Work Project"

David Rothenberg, Executive Director
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"Help for the Ex-Inmate"

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American Bar Association
"Developments in the Law Since July, 1972"

George Trubow, Director
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"Crime Specific Planning"

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TEXTBOOKS PROVIDED PARTICIPANTS
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The Functions of the Police in Modern Society.

"A Review of Background Factors, Current Practices, and Possible Role Models." National Institute of Mental Health Center for Studies of Crime and Delinquency. DHEW Publication No. (HSM) 72-9103, (Formerly Public Health Service Publication No. 2059).

HOOD, ROGER AND SPARKS, RICHARD

Key Issues in Criminology. World University Library, McGraw-Hill Book Company, New York-Toronto.

Library of Congress Catalog No.: 77-90231

HOOVER, JOHN EDGAR, DIRECTOR, FBI

Crime in the United States. Uniform Crime Reports for the United States. Printed Annually--1970.

HARLOW, ELEANOR, INFORMATION ANALYST, NCCD, AND

Weber, J. Robert and Cohen, Fred, Consultants
Diversion from the Criminal Justice System. National Clearinghouse for Mental Health Information. National Institute of Mental Health, Center for Studies of Crime and Delinquency, 5600 Fishers Lane, Rockville, Maryland 20852.

KATZENBACH, NICHOLAS deB., CHAIRMAN THE COMMISSION

The Challenge of Crime in a Free Society. "A Report by the President's Commission on Law Enforcement and Administration of Justice." Foreword by Nicholas deB. Katzenbach.

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WOLFGANG, MARVIN E.; FIGLIO, ROBERT M.; SELLIN, THORSTEN

Delinquency in a Birth Cohort. Foreword by Norval Morris, Director Center for Studies in Criminal Justice, Chairman, Editorial Committee. University of Chicago Press, Chicago 60637.

WOLFGANG, MARVIN E.; FIGLIO, ROBERT M.; SELLIN, THORSTEN (CONTINUED)

International Standard Book No.: 0-226-90553-5, Library of Congress Catalog No.: 75-187929.

ZIMRING, FRANKLIN E., THE LAW SCHOOL, UNIVERSITY OF CHICAGO

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National Institute of Mental Health, Center for Studies of Crime and Delinquency, 5454 Wisconsin Avenue. Public Health Service Publication No. 2056. U.S. Department of Health, Education and Welfare.

MORRIS, NORVAL AND HAWKINS, GORDON

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Approved Drafts:*

BURGER, WARREN E., CHAIRMAN

Advisory Committee on the Prosecution and Defense Functions. Standards Relating to Providing Defense Services. American Bar Association Project Minimum Standards for Criminal Justice.

The Volume contains the Tentative Draft of July 1967. The standards in it were approved by the ABA House of Delegates in February 1968, and may be cited as "Approved Draft, 1968."

LUMBARD, J. EDWARD, CHAIRMAN

Special Committee on Minimum Standards for the Administration of Criminal Justice. Appellate Review of Sentences. March 1968. American Bar Association Project on Minimum Standards for Criminal Justice.

SOBELOFF, SIMON E., CHAIRMAN; REITZ, CURTIS R., REPORTER

Advisory Committee on Sentencing and Review. Criminal Appeals. Special Committee on Standards for the Administration of Criminal Justice, October 1970.

REARDON, PAUL C., CHAIRMAN; SHAPIRO, DAVID L., REPORTER

American Bar Association Project on Standards for Criminal Justice. Fair Trial and Free Press. Advisory Committee on Fair Trial and Free Press, March 1968, American Bar Association.

SCHAEFER, WALTER V., CHAIRMAN; LAFAVE, WAYNE R., REPORTER

Advisory Committee on the Criminal Trial. Standards Relating to Pleas of Guilty. March 1968. American Bar Association Project on Standards for Criminal Justice.

MURRAH, ALFRED P., CHAIRMAN; ARES, CHARLES E., REPORTER

Standards Relating to Pretrial Release. Special Committee on Minimum Standards for the Administration of Criminal Justice, September 1968.

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Standards Relating to Probation. American Bar Association Project on Standards for Criminal Justice, February 1970.

JAMESON, WILLIAM J., CHAIRMAN

Special Committee on Standards for the Administration of Criminal Justice. Standards Relating to The Prosecution Function and the Defense Function. Advisory Committee on the Prosecution and Defense Functions, March 1971.

SOBELOFF, SIMON E., CHAIRMAN; LOW, PETER W., REPORTER

Standards Relating to Sentencing Alternatives and Procedures, September 1968. American Bar Association Project on Standards for Criminal Justice.

SOBELOFF, SIMON E., CHAIRMAN; REITZ, CURTIS R., REPORTER

Standards Relating to Post-Conviction Remedies. American Bar Association Project on Minimum Standards for Criminal Justice. Recommended by the Advisory Committee on Sentencing and Review.

* Approved drafts may be secured through
Office of Criminal Justice Project
Institute of Judicial Administration
33 Washington Square West
New York, New York 10011

APPENDIX I

INSTITUTE FOR CRIMINAL JUSTICE EXECUTIVES

Budgeted and Actual Expenses

(Based on Budget as Revised March 5, 1973)

| ITEM | BUDGETED EXPENSE | ACTUAL EXPENSE |
|-------------------------|---------------------|-------------------|
| A. Personnel | | |
| 1. Salaries | | |
| a. C. Ranlet Lincoln | \$ 1,450.00 | \$ 1,450.00 |
| b. Philip M. Nowlen | 7,175.00 | 7,175.00 |
| c. Kathleen K. Dickhaut | 1,900.00 | 1,900.00 |
| d. Norval R. Morris | 3,157.00 | 3,157.00 |
| e. William S. Griffith | 206.00 | 206.00 |
| f. Howard Sulkin | 2,159.00 | 2,158.80 |
| g. Fred Pearson | 2,322.00 | 2,322.27 |
| h. Bruce Hunt | 1,493.00 | 1,492.80 |
| i. Wallace Lonergan | 2,271.00 | 2,270.52 |
| j. Robert Weaver | 867.00 | 867.20 |
| k. Josephine Pompey | 383.00 | 382.35 |
| l. Edgar Swanson | 790.00 | 789.88 |
| m. Edward McGehee | 757.00 | 757.00 |
| n. John Furcon | 960.00 | 960.04 |
| o. Donna Tanzer | 140.00 | 139.65 |
| p. Rogene Fox | 238.00 | 238.07 |
| q. Ernestine Hardy | 88.00 | 88.42 |
| r. Marvin Veronee | 1,423.00 | 1,422.50 |
| s. Secretary | 4,440.00 | 4,436.98 |
| t. Graduate students | 1,680.00 | 1,218.00 |
| Total Salaries | \$ 33,899.00 | \$ 33,432.48 |

| ITEM | BUDGETED EXPENSE | ACTUAL EXPENSE |
|--------------------------|---------------------|-------------------|
| A. Personnel (continued) | | |
| 2. FICA, Retirement | | |
| Faculty salaries | \$ 1,203.00 | \$ 1,142.55 |
| Non-faculty salaries | 2,945.00 | 3,396.97 |
| Total FICA, Retirement | \$ 4,148.00 | \$ 4,539.52 |
| Total Personnel | \$38,047.00 | \$37,972.00 |

| | | |
|-----------------------------------|-----------|-----------|
| B. Professional Services | | |
| 1. Instructor Consultants | 2,000.00 | 2,331.25 |
| 2. Program Evaluation Consultants | 12,908.00 | 11,501.96 |
| 3. Field Work Consultants | 3,500.00 | 3,500.00 |
| 4. Preparation Time | 4,000.00 | 2,400.00 |
| Total Professional Services | 22,408.00 | 19,733.21 |

| | | |
|-------------------------------------|-----------|-----------|
| C. Travel and Subsistence | | |
| <u>Travel</u> | | |
| 1. Instructor Consultants | 2,500.00 | 2,018.25 |
| 2. Program Evaluation Consultants | 1,500.00 | 943.64 |
| 3. Field Work Consultants | 750.00 | 500.03 |
| 4. Participants and their superiors | 19,600.00 | 12,498.43 |
| Total Travel | 24,350.00 | 15,960.35 |

| ITEM | BUDGETED EXPENSE | ACTUAL EXPENSE |
|---------------------------------------|---------------------|-------------------|
| C. Travel and Subsistence (continued) | | |
| <u>Subsistence</u> | | |
| 1. Instructor Consultants | \$ 1,250.00 | \$ 838.32 |
| 2. Program Evaluation Consultants | 750.00 | 546.05 |
| 3. Field Work Consultants | 375.00 | 184.07 |
| 4. Participants and their superiors | 31,000.00 | 24,815.49 |
| Total Subsistence | \$ 33,375.00 | \$ 26,383.93 |
| Total Travel and Subsistence | \$ 57,725.00 | \$ 42,344.28 |

| | | |
|--|----------|----------|
| D. Equipment and Supplies | | |
| 1. Development, printing of announcement brochure and applications | 1,000.00 | 895.84 |
| 2. Analysis, computer formatting of application data | 100.00 | 21.39 |
| 3. Typewriter rental | 410.00 | 344.00 |
| 4. Rental of calculator | 64.00 | 0.00 |
| 5. Telephone Service | 784.00 | 353.23 |
| 6. Postage | 500.00 | 245.13 |
| 7. Participant name badges and table signs | 80.00 | 111.90 |
| 8. Participant materials | | |
| a. Ruled pads | 59.00 | 42.68 |
| b. Pens | 62.00 | 35.08 |
| c. Printing and duplication | 1,000.00 | 1,183.78 |
| d. Books and preprinted materials | 1,355.00 | 1,234.72 |
| e. Certificates of completion | 200.00 | 104.95 |
| Total Participant Materials | 2,676.00 | 2,601.21 |

| ITEM | BUDGETED EXPENSE | ACTUAL EXPENSE |
|--|------------------|----------------|
| D. Equipment and Supplies (continued) | | |
| 9. Audio-Visual equipment | | |
| a. VTR | \$ 1,090.00 | \$ 942.68 |
| b. Audio tape recording | 855.00 | 850.63 |
| c. Other equipment | 240.00 | 168.50 |
| Total Audio-Visual | \$ 2,185.00 | \$ 1,961.81 |
| 10. Classroom space | 6,150.00 | 4,705.70 |
| 11. Evaluation supplies | | |
| a. Field work questionnaire | 500.00 | 0.00 |
| b. Corrected analysis of field reports | 350.00 | 0.00 |
| c. Reproduction of tests and instruments | 1,000.00 | 1,126.36 |
| d. Computer processing of data | 405.00 | 0.00 |
| e. Miscellaneous supplies | 75.00 | 47.00 |
| f. Evaluation component of final report | 600.00 | 600.00 |
| Total Evaluation Supplies | 2,930.00 | 1,773.36 |
| 12. Miscellaneous office supplies | 1,400.00 | 984.65 |
| Total Equipment and Supplies | \$ 18,279.00 | \$ 13,998.22 |

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| ITEM | BUDGETED EXPENSE | ACTUAL EXPENSE |
|----------------------------|---------------------|---------------------|
| E. Indirect Costs | \$ 18,872.00 | \$ 18,837.55 |
| F. Matching Funds | | |
| Superiors salaries | \$ 2,496.00 | \$ 2,982.72 |
| Participants salaries | 50,000.00 | 52,986.30 |
| Total Matching Funds | <u>52,496.00</u> | <u>\$ 55,969.02</u> |
| TOTAL PROJECT AMOUNT | <u>\$207,827.00</u> | <u>\$188,854.28</u> |
| AMOUNT REQUESTED FROM LEAA | <u>\$155,331.00</u> | <u>\$132,885.26</u> |