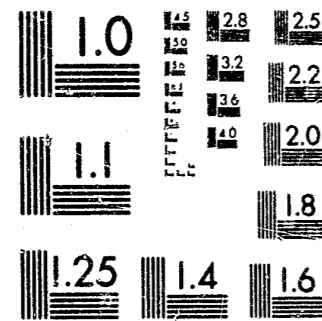


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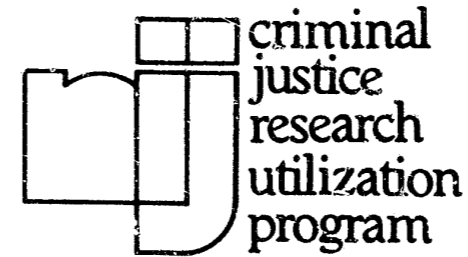
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National Institute of Law Enforcement and Criminal Justice  
Law Enforcement Assistance Administration  
United States Department of Justice  
Washington, D. C. 20531

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JULY 23, 1980



**MANAGING  
THE  
PRESSURES  
OF  
INFLATION  
IN CRIMINAL JUSTICE**

59247

**PICIPANT'S  
BOOK**

MENT OF JUSTICE  
STITUTE OF JUSTICE

U.S. Department of Justice  
National Institute of Justice  
Henry S. Dogin, Acting Director

MANAGING THE PRESSURES OF INFLATION  
IN CRIMINAL JUSTICE  
PARTICIPANT'S HANDBOOK

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For

CRIMINAL JUSTICE RESEARCH UTILIZATION PROGRAM

Frederick J. Becker, Jr.  
Program Manager  
National Institute of Justice

April 1980

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FOREWORD

Through the Executive Training Program, new criminal justice processes and methods created and tested under the sponsorship of the National Institute of Law Enforcement and Criminal Justice have been introduced to thousands of local officials. Many of these officials have subsequently used this new knowledge to enhance the efficiency and effectiveness of criminal justice activities in their localities.

The Institute's Office of Development, Testing, and Dissemination is carrying forward another year of the Executive Training Program to give local criminal justice decisionmakers additional new techniques emerging from Institute-sponsored research. We look forward to the program's continued success, not only in improving the effectiveness of the criminal justice system but also in helping local governments to provide services in the face of shrinking budgets.

Harry Bratt, Acting Director  
National Institute of Law  
Enforcement and Criminal Justice  
Washington, D.C.

## PREFACE

For almost a decade, the National Institute of Law Enforcement and Criminal Justice (NILECJ) of the Law Enforcement Assistance Administration (LEAA) has sponsored research, evaluation, demonstrations and tests of program models aimed at improving the administration and operations of the criminal justice system in America. Specific program models and workable ideas have emerged from this effort and have provided new insights and alternative practices for use in the operation of police services, court administration, and corrections services.

In 1976, the Office of Development, Testing, and Dissemination (ODTD) of the National Institute consolidated many of the results of these research-based efforts and studies and incorporated them into a nationwide training program entitled the "National Criminal Justice Executive Training Program" (NCJETP). Since 1976, more than 10,000 criminal justice program administrators and local policymakers have participated in over 250 workshops and conferences that have dealt with every aspect of the criminal justice system: police, courts, and corrections.

The current topic of "Managing the Pressures of Inflation in Criminal Justice" (MPI) is but one of many topical workshops sponsored by the National Institute. MPI has been designed in response to a mix of current problems and pressures affecting the decisionmaking responsibilities of city and county policymakers and program executives who are responsible for the administration of criminal justice in the United States. Included in this set or mix of pressures are issues such as fiscal stress in local governments, declining tax revenues, increased demands for services, State or local initiatives aimed at tax reductions or mandated ceilings on taxing authorities, demands for increased productivity with less resources, and, of course, the impact of inflationary pressures.

Responding to these pressures requires that local governments and the program managers of the criminal justice system -- police, courts, and corrections -- adopt what the research literature is beginning to call "cutback management" strategies and tactics. For some, cutback management is but a species of good management styles and practices; for others, cutback management is a new form of public management that is evolving as a response to new pressures.

This MPI workshop has been designed with the view in mind that the context of public management of the criminal justice system now has a clearer set of boundaries for the criminal justice manager or policymaker. More is expected to be done with less; and in some instances, the shape of public administration is to be seen in the dilemma created when more services but less resources are mandated by law.

There are positive benefits that may be present as a consequence of this dilemma. Public managers now have not only an opportunity but a mandate to experiment with the management of the planning design, delivery, and evaluation of their services so that creative responses can be provided to the constituencies and communities they serve. Perhaps at no other time in American history is so much being required of so few in the area of public administration of criminal justice.

It is our hope that this MPI workshop will provide a small contribution to your efforts and to the new responsibilities and difficulties of your job.

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May 1979

NATIONAL CRIMINAL JUSTICE  
EXECUTIVE TRAINING PROGRAM

Introduction

The National Criminal Justice Executive Training Program is a nationwide training effort that offers officials of state and local jurisdictions the opportunity to learn about improved criminal justice practices and programs. The National Criminal Justice Executive Training Program is sponsored by the National Institute of Law Enforcement and Criminal Justice (NILECJ), the research center of the Law Enforcement Assistance Administration (LEAA), U.S. Department of Justice.

The National Institute supports wide-ranging research in the many legal, sociological, psychological, and technological areas related to law enforcement and criminal justice. It also follows through with the essential steps of evaluating research and action projects and disseminating information on successful efforts to encourage early and widespread adoption.

As LEAA's research, evaluation, and training arm, the Institute works to devise improved methods to control crime and strengthen the criminal justice system and to train law enforcement and criminal justice personnel as well as legislators, mayors, and researchers to use these more promising approaches.

The National Criminal Justice Executive Training Program is a major vehicle for transferring research results to actual application in police departments, courts, correctional institutions, and related agencies across the country. In this program, senior criminal justice administrators and other decisionmaking officials of courts, corrections, and police agencies in each state are selected to participate in workshops and other training activities held across the country to learn about new procedures.

Goals

The primary goal of the National Criminal Justice Executive Training Program is to enable criminal justice executives and policymakers to bring about adoption of improved courts, corrections, and police practices. These improved practices are derived from National Institute research findings, or designed and validated by the Institute's Office of Development, Testing, and Dissemination through its Program Models publication series and Exemplary Projects program. They are the embodiment of the Institute's policy of sharing knowledge and proven practice to enable local agencies to be self-directing and self-reliant to the maximum extent possible.

To introduce the new practices through the nation, the Institute's Executive Training Program:

- Informs influential policymakers in the larger agencies about new practices and their potential for improving the criminal justice system
- Gives them the knowledge and skills needed to apply these methods in their jurisdictions.

Techniques that have been tested or that promise improved effectiveness of efficiency are presented in Regional Training Workshops, Field Test Training, Local Training, and Special National Workshops.

The training topics are selected from among the most promising concepts developed under NILECJ auspices. These include models derived from:

- Research Results--Improved criminal justice practices identified through research findings
- Exemplary Projects--Projects that show documented success in controlling specific crimes or that have demonstrated measurable improvement in criminal justice service
- Program Models--Syntheses of the most advanced techniques, including operational guidelines, that can be followed in locales throughout the country.

The National Criminal Justice Executive Training Program assembles a team of nationally recognized experts for each training subject. Extensive support services are also provided including multi-media development, editing and publication of training materials, comprehensive evaluation, training methodology, and logistical support.

#### Program Activities

Several major activities are being carried out to encourage local jurisdictions' use of improved criminal justice practices derived from research and evaluation.

#### Regional Training Workshops

Eight workshop series were presented across the country between late 1976 and early 1978, and four new topics are being presented in the third year of the program. Each three-day workshop is devoted to one topic and attended by 50 to 60 top criminal justice policymakers of the larger agencies from throughout the multi-state regions of workshop presentations. In the 1976-77 cycle, participants learned how to manage successfully the change processes in:

#### • Managing Criminal Investigations

Application of systemwide management techniques to increase the successful solution and prosecution of major crimes with reduced resources.

#### • Juror Usage and Management

Procedures that improve the efficiency of juror selection, usage, and motivation with significant cost savings.

#### • Prison Grievance Mechanisms

Principles essential to achieving prompt and equitable resolution of problems and disputes, with benefits for both prison staff and inmates.

#### • Rape and Its Victims

Understanding of and skill in the delivery of services to rape victims through communitywide coordination of agencies and programs.

In the 1977-78 cycle of the program, workshops were presented across the nation on:

#### • Managing Patrol Operations

Improving management skills in matching police resources and workload demands, and facilitating citizen participation to increase police patrol effectiveness in the face of decreasing resources.

#### • Developing Sentencing Guidelines

The development of articulated sentencing policies to guide structured judicial discretion toward reducing sentencing disparity among similar offenders and types of crimes to increase equity in the administration of justice.

#### • Health Care in Correctional Institutions

Improving health care of inmates in prisons and jails by assessing needs and problems, developing improved methods and procedures, and identifying required resources based on legal and medical standards.

- **Victim/Witness Services**

Identification of victim/witness services requiring initiation, improvement, coordination, and/or further study; training in implementation skills and plans for improving the interaction and relationships between the criminal justice system and victims and witnesses.

In Cycle III, beginning in September 1978, workshops are being presented on:

- **Managing the Pressures of Inflation in Criminal Justice**

Representatives of city and county administration, police agencies, court jurisdictions, and correctional facilities from similar communities will learn about cutback management. Emphasis will be on the application of cutback tactics to criminal justice operations and the implications of such tactics for the delivery of criminal justice services. Program models developed by NILECJ for police, courts, and corrections will be presented as elements of a rational approach to cutback planning.

- **Maintaining Municipal Integrity**

This workshop series will focus on local government and training emphasis will be on prevention. Indicators of corruption, which officials can use to diagnose the extent of their problem, will be applied to real and case study governments, and prescriptions for prevention will stress accountability through special management methods that can be used by mayors or county executives, city and county managers, and police chiefs.

- **Operating a Defender Office**

In the six years since the U.S. Supreme Court ruled in Argersinger v. Hamlin, states and local jurisdictions have established a growing number of publicly financed defender offices to ensure the provision of counsel for persons unable to pay for it. To equip managers of these offices with the needed skills, training will focus on four topics: case management, budgeting, personnel administration, and external office relationships.

- **Improved Probation Strategies**

This topic focuses on improving management techniques in probation offices in a time of fiscal and program crisis. Thus, overall management areas such as planning, resource allocation, budgeting, and effective use of support services will be stressed. Improved program strategies, such as special intensive probation, community resource

management, and techniques of pre-sentence investigation reporting, will be used in case study examples of ways to improve programming.

Participants in all the workshops receive individual program planning guides, self-instructional materials, handbooks, and manuals. Certificates acknowledging attendance are awarded at the conclusion of training.

Following each Regional Training Workshop, up to six days of Local Training, formerly called Follow-On Training, are available in each regional to assist local agencies in the direct application of skills learned in the workshops' training events.

Multi-media packages are developed and furnished to any requesting agency that is interested in implementation. Included are videotapes, training manuals, and other related resource documents.

#### Field Test Training

Field tests examine the new procedures in a real-world setting and evaluate their effectiveness and transferability to other jurisdictions throughout the country.

Key representatives from the test sites receive Field Test Training designed to:

- Prepare test site staff to operate or implement their projects
- Identify agencywide needs for Local Training
- Determine the most effective format for training assistance to the local sites
- Assist the sites in conducting research utilization conferences to familiarize their colleagues in nearby states with their experiences.

During 1976, field test sites were selected to implement projects in Managing Criminal Investigations and Juror Usage and Management. Five police agencies were involved in the Field Test program in Managing Criminal Investigations:

- Birmingham, Alabama
- Montgomery County, Maryland
- Rochester, New York
- Santa Monica, California
- St. Paul, Minnesota.

Eighteen courts were involved in the Field Test program in Juror Usage and Management:

- Connecticut State Courts
- Middlesex County (New Brunswick), New Jersey

- Delaware County (Media), Pennsylvania
- Jefferson County (Louisville), Kentucky
- Summit County (Akron), Ohio
- Dallas County (Dallas), Texas
- St. Louis County (Clayton), Missouri
- Salt Lake City, Utah
- Maricopa County (Phoenix), Arizona
- Spokane County (Spokane), Washington
- Suffolk County (Boston), Massachusetts
- New York, New York
- Dane County (Madison), Wisconsin
- DuPage County (Wheaton), Wisconsin
- East Baton Rouge Parish (Baton Rouge), Louisiana
- Polk County (Des Moines), Iowa
- Pennington County (Radid City), South Dakota
- Ada County (Boise), Idaho

In 1977, the Executive Training Program provided assistance to three Neighborhood Justice Center field test sites in Atlanta, Kansas City, and Los Angeles. A Neighborhood Justice Center is a community-based project that seeks to resolve conflicts between people who have a continuing relationship and whose disputes are more appropriately resolved by mediation than by litigation. The Centers recruit and train community people to apply the techniques of mediation and arbitration to disputes. The Executive Training Program assisted the three project sites in preparing grant applications, conducting two training programs for the project staffs at the beginning of the test period, providing 30 days of local training assistance to each center during the start-up period; and supporting NJC Director's conference.

During Cycle III, four topics are the focus and Field Test Training: Pre-Release Centers, Managing Patrol Operations, Multijurisdictional Sentencing Guidelines, and Improved Correctional Field Services.

Two jurisdictions will be involved in Field Test Training in Pre-Release Centers; New Orleans and Philadelphia. These two field test sites will be implementing procedures similar to those developed by the Pre-Release Center in Montgomery County, Maryland, which NILECJ has designated as an Exemplary Project. The purpose of the testing is to determine if a structured community release program can measurably improve the post-release behavior and community adjustment of selected jail and prison inmates.

Two of the Cycle III Field Test topics--Managing Patrol Operations and Developing Sentencing Guidelines--involve training in the implementation of strategies and techniques discussed in Cycle II Regional Training Workshops. For Managing Patrol Operations, training will be conducted in Albuquerque, Charlotte, and Sacramento. Training sites for Multijurisdictional Sentencing Guidelines will be designated in 1979.

Field Test Training in Improved Correctional Field Services also will be conducted at three test sites. These sites--Kane County, Illinois; Suffolk County, New York; and Jacksonville, Florida--are involved in an effort to test the effectiveness of probation risk screening procedures as they are used in combination with different levels of supervision.

### Special National Workshops

Special National Workshops are the third part of the National Criminal Justice Executive Training Program. They are single events held for selected criminal justice policymakers and researchers on significant topics chosen by the National Institute. Recommendations for problem-solving are provided by criminal justice experts and practitioners who have dealt with these problems or whose theoretical and analytical contributions can be helpful in the implementation effort.

The workshops fall into three general categories:

1. Transferring research to the community of practitioners--The functions here are to address differences in perception between research and operational perspectives, to assess the validity of research findings in light of operational experience, to assess practitioners' needs for additional knowledge, and to communicate new information to the operational community.

2. Communication among researchers--The functions here are to advance the state-of-the-art in a given topic area, particularly one where "real world" changes are affecting the criminal justice system, to share new findings, and to clarify directions for future research.

3. Special target audiences--Here the effort is to reach groups such as elected officials, planners, or evaluators and to inform them of current research and validated information on advanced practices.

The Special National Workshops presented during the first year of the Executive Training Program were:

- Argersinger v. Hamlin--This presentation focused on the problems associated with the provision of legal counsel to all indigent defendants facing incarceration, based on the 1972 Supreme Court mandate.
- Update '77--Mayors and county chairpersons from across the nation gathered in Washington, D.C., to discuss the role of local elected executives in planning and developing programs in law enforcement and criminal justice. Research findings by NILECJ and other resources were reviewed as potential solutions to major problems.
- Determinate Sentencing--This workshop provided an in-depth analysis of this sentencing trend and its effect on police, prosecutors, judicial systems, and correctional systems at the national and state levels, including current legislation and laws in California and Indiana and current bills.



During Cycle II, Special National Workshops focused on:

- Forensic Science Services and the Administration of Justice--This workshop's goal was to integrate perspectives among and between police executives, prosecutors, judges, defenders, criminal justice educators, and forensic scientists to promote an interdisciplinary exchange of views that could lead to fuller use of scientific resources in criminal justice.
- Pretrial Release--This workshop brought together judges who represented each of the 50 states as well as 10 judges from federal district courts who are involved in a demonstration project to examine the process, issues, and alternatives in the pretrial release of defendants.
- Stochastic Modeling--Among the more promising techniques of crime analysis, stochastic modeling was discussed at this workshop by executives and crime analysts seeking insights into the kinds of analysis possible with this technique.
- Update '78--Following the success of Update '77, this workshop provided an opportunity for additional mayors, county executives, and other local officials to examine their role in criminal justice decision-making, gain new perspectives on what is being done in other jurisdictions, explore current criminal justice research, and raise issues and concerns from the local point of view.
- Plea Bargaining--This workshop was designed to clarify the issues surrounding plea bargaining and to provide a means for reporting on the results of important research projects. A number of papers commissioned for the workshop received widespread dissemination through subsequent publication in Law and Society Review.
- Mental Health Services in Jails--This workshop focused on effective models for mental health service delivery to jail inmates, including analyzing the existing situation within a correctional institution, coping with the stress-related problems of incarceration, diagnosing acute mental illness, treatment and diversion, and using available community mental health services for inmate populations.

Prospective Special National Workshops topics for Cycle III include a National Evaluation Workshop, Research Utilization for State Planning Agencies, Urban Crisis Planning, and Career Criminal.

As part of the Special National Workshops, the National Criminal Justice Executive Training Program staff also provides support to meetings of the NILECJ Advisory Committee.

#### Results

An impact evaluation conducted three months after the last workshop in Cycle I indicates the effects of the Executive Training Program: Officials from more than half the agencies represented said they are implementing one or more of the specific aspects of the knowledge gained through research and information-sharing presented at the workshops:

- Three-fourths of the police officials reported making changes in some aspect of their management of criminal investigations--the initial investigation, case screening, and the continuing investigation.
- Over half the representatives from court systems reported making changes in their juror usage and management processes--summons procedures, record-keeping, and monitoring/evaluation.
- Correctional officials reported implementing changes in their systems, although in slightly fewer numbers than either the police or court representatives. They focused on changes in their prison grievance mechanisms, encouraging such innovations as inmate/staff participation, written responses and monitoring and evaluation.
- More than three-fourths of the participants at the Rape and Its Victims Workshops reported an increase in cooperation among community agencies to improve services to rape victims.

Similar concrete results are anticipated for Cycles II and III of the National Criminal Justice Executive Training Program. Not only is the program apparently equipping criminal justice executives and other policymakers with the knowledge and skills to improve the delivery of criminal justice services in their communities and create a safer environment, but it also is giving participants a personal benefit--the chance to enhance their own skills and career potential.

#### About the Office of Development, Testing, and Dissemination

The Office of Development, Testing, and Dissemination is responsible for distilling research, transforming the theoretical into the practical, and identifying programs with measurable records of success that deserve widespread application. As part of its programs, ODTD also provides financial and

professional assistance in adaptation and tests of selected practices in several communities, and offers training for criminal justice executives nationwide. The result is that criminal justice professionals are given ready access to some of the best field test programs and experimental approaches that exhibit good potential.

ODTD has developed a structured, organized system to bridge: (1) the operational gap between theory and practice, and (2) the communication gap between researchers and criminal justice personnel scattered across the country. ODTD's comprehensive program provides:

- Practical guidelines for model criminal justice programs
- Training workshops for criminal justice executives in selected model programs and other promising research
- Field tests of important new approaches in different environments
- On-site training visits for criminal justice executives to agencies operating successful innovative programs
- International criminal justice clearinghouse and reference services for the entire criminal justice community.

#### PURPOSES OF THE MANAGING THE PRESSURES OF INFLATION IN CRIMINAL JUSTICE EXECUTIVE TRAINING PROGRAM

The workshop has been designed to accomplish the following goals and objectives:

##### Goals

- To enable local government policymakers and criminal justice program administrators to plan, manage, and implement rational cutback management approaches in the field of criminal justice so that long-range improvement goals are maintained and minimum adverse impacts on criminal justice services are obtained
- To encourage local government policymakers and criminal justice administrators to understand and to use LEAA/NILECJ program improvements and innovations as feasible alternatives in the development and implementation of rational local cutback management approaches.

##### Objectives

In order to accomplish these goals and in order to design a structured workshop, it is planned that by the end of the workshop participants will have accomplished the following objectives:

- To understand how various pressures have converged to influence and directly affect to a new degree the management of public services
- To understand the long-term impact of these pressures on revenue sources, expenditures, program policies, and program operations particularly in the delivery of criminal justice services
- To distinguish between reactive planning for cutback management and rational planning for cutback management of criminal justice services
- To understand how various types of criminal justice program models may be used as approaches in the development and refinement of a rational approach to cutback management
- To understand the consequences of planned reductions in the delivery of criminal justice services or operations
- To develop with other members from the same jurisdiction a negotiated planned approach to cutback management of criminal justice expenditures in a way that maintains or facilitates program improvements and diminishes adverse reactions from community.

### MPI WORKSHOP THEMES AND PRODUCT

Two interlocking themes are incorporated into the workshop design. One is that cutback management in the criminal justice system requires that local policymakers and program administrators understand the effects that cuts in one part of the criminal justice system may have on other parts of the system and on parts of the communities served by that system. The second theme is that if cutback management is to be rational and effective all parts of the system--local policymakers, police, courts, corrections -- should begin to think of a local collegial approach to cutback management.

Thus the workshop will incorporate, through small group work, various problems that will be handled by members from the same jurisdiction working as a team. By the end of the workshop, participants from the same jurisdiction who represent the local policymakers and program administrators for the criminal justice system will have developed, and refined, an outline for a rational approach to cutback management in the criminal justice system for their jurisdiction. In this sense, therefore, the participants will be able to return home with a product that may be of assistance to their local needs and problems.

### MPI PARTICIPANT HANDBOOK

This Participant Handbook is to be used as your guide and outline for all the workshop sessions. It has been designed as a working text, and space is provided for your own notes and comments.

### MPI MANUAL OF READINGS

The Manual contains selected readings that are intended to supplement the workshop presentations.

### MPJ WORKSHOP CURRICULUM OUTLINE

Through a series of plenary sessions and small group exercises, the curriculum of the workshop is intended to provide a logical and sequential approach to the use of cutback strategies and tactics in the criminal justice system.

In outline form, the curriculum will address the following topics:

- PROBLEM OVERVIEW: CRIMINAL JUSTICE MANAGEMENT IN A PERIOD OF RESOURCE SCARCITY
- CUTBACK MANAGEMENT: MEANING AND STRATEGIC ISSUES
- PLANNING FOR CUTBACK MANAGEMENT IN THE CRIMINAL JUSTICE SYSTEM
- POLICE PROGRAM MODELS AND IDEAS FOR IMPROVING PRODUCTIVITY
- COURTS PROGRAM MODELS AND IDEAS FOR IMPROVING PRODUCTIVITY
- CORRECTIONS PROGRAM MODELS AND IDEAS FOR IMPROVING PRODUCTIVITY
- CHANGE STRATEGIES FOR APPLYING CUTBACKS
- CONSTRUCTING A LOCAL CUTBACK PLAN.

#### MPI TRAINING TEAM

W. JEROME MIRON is a senior associate of the University Research Corporation, Washington, D.C., and has been a member of the National Criminal Justice Executive Training Program project sponsored by the National Institute of Law Enforcement and Criminal Justice of the Law Enforcement Assistance Administration. He has been, for the past three years, Team Leader of the "Managing Criminal Investigations" and "Managing Patrol Operations" regional training and field test programs of the NCJETP. He was formerly an administrative assistant to the Mayor of Jacksonville, Florida, and the director of a Washington based urban research center.

ROBERT WASSERMAN is an independent police and urban consultant. He was assistant to the police commissioner of operations for the Boston Police Department. He has worked in Massachusetts designing law enforcement programs, coordinating riot control and prevention, and offering crisis intervention assistance. Broad experience as a consultant to many police departments throughout the country gives him a national perspective on the management of police operations.

CHARLES LEVINE is acting director of the University of Maryland's Institute for Urban Studies. He previously taught at Indiana, Michigan State, Cornell, and Syracuse Universities. He has published two books -- "Racial Conflict and the American Mayor" (1974) and "Managing Human Resources" (1977) -- and over 50 articles and professional papers in the fields of public management and urban politics. From 1973 to 1976 he served as founding coeditor of Administration and Society. He is presently engaged in studying cutback management in a number of city governments and Federal agencies as part of a project to develop a methodology for managing organizational contraction and decline. In April he was the recipient of the William E. Mosher Prize of the American Society for Public Administration for his article "Organizational Decline and Cutback Management" judged the best article by an academician published in the Public Administration Review during 1978.

EDWARD PESCE is an attorney and independent management consultant with diverse Federal, State, and local justice system experience. With the Department of Justice, he was a trial attorney in the Criminal Division and later joined the Office of the Deputy Attorney General in the Office of Planning and Evaluation. Thereafter, he was special assistant in the Office of Criminal Justice, Deputy Attorney General's office from 1969 to 1971. In that capacity, he was the author of the Department of Justice's court reorganization legislation reforming the court system of the District of Columbia, and he coordinated its implementation in that court system. As a manager with Westinghouse, Mr. Pesce founded the Justice Institute which provided consulting services including Nationwide Police Technical Assistance for LEAA, Courthouse Design and Security Services, Management Information Systems for several court systems across the country (in Ohio, Michigan, Pennsylvania, and New Jersey), and research and demonstration projects in Crime Prevention for LEAA's National Institute of Law Enforcement and Criminal Justice.

MICHAEL KEATING is presently the special prison master for a Federal district court in Rhode Island and monitors both the adult and juvenile correction systems in that state. He is an attorney who most recently directed the National Corrections Technical Assistance Project for LEAA. He is a nationally known and widely published authority on conflict resolution, especially in prisons, and directed initial training of the staffs of the Model Neighborhood Justice Centers for the National Institute of Law Enforcement and Criminal Justice.

MARK CORRIGAN is an independent corrections consultant who has recently completed management projects for the American Correctional Association, the State of Alaska, and the Commonwealth of Massachusetts. Mr. Corrigan held the position of executive deputy commissioner for the New York State Department of Correctional Services where he served for four years. Prior to his involvement in State government, Corrigan worked as deputy city administrator for the City of New York under Mayor John V. Lindsay.

DANIEL BARBEE is an associate with the National Training and Development Service for State and Local Government (NTDS). He works in the field of public management development and training. Previously, he was associate director for government affairs training with the U.S. Office of Personnel Management, and he has taught at the University of Maryland, Georgia State University, and the University of Tennessee.

He has consulted and conducted training for the U.S. Office of Personnel Management, the Southeastern Federal Regional Council, the Department of Housing and Urban Development, the State of Georgia, the State of Tennessee, and other agencies and governmental jurisdictions. Currently, Dr. Barbee is developing materials in cutback management for use in working with State executives and managers.

PAUL NEJELSKI is presently the staff director of the new Action Commission To Reduce Court Costs and Delay, established by the American Bar Association. He was formerly the deputy assistant attorney general, Office for Improvements in the Administration of Justice (since April 1977), with special responsibility for study of civil litigation and court reform along with other research areas in the Department of Justice. Before that position, Mr. Nejelski held a variety of challenging positions including deputy court administrator for the State of Connecticut Judicial Department, director of the Institute of Judicial Administration (NYU Law School), assistant director of the Harvard Center for Criminal Justice, and positions in the LEAA National Institute and Department of Justice Criminal Division. Mr. Nejelski is an attorney who also holds an M.P.A. from American University.

DAVID STANLEY is an independent government consultant specializing in public management problems. He was formerly a senior fellow at the Brookings Institution, Washington, D.C., where he conducted research and studies in public administration and management. For 22 years, he was an executive with the Federal Government, and his last assignment was as Director, Management Policy, HEW. He has been a consultant to the National Institute for Law Enforcement and Criminal Justice (NILECJ) and has published a major work on the topic of parole. He resides in the Washington area.

ELISHA FREEDMAN is a career public administrator, serving over 25 years at the town, city, county, State, and Federal levels. He is a graduate of the Maxwell School of Citizenship and Public Affairs at Syracuse University, holding a master's degree in public administration.

He has served on the board of directors of the International City Management Association (ICMA) and has been president of the Connecticut Chapters of the American Society for Public Administration (ASPA) and ICMA. He is a lecturer, author, and adviser on subjects related to local government and finance and received the Louis Brownlow Award for contributions to the literature of public administration in 1967.

Since January 2, 1979, he has served as the commissioner of administrative services for the State of Connecticut. His prior assignments include appointments as city manager of Rochester, New York, and Hartford, Connecticut; chief administrative officer of Montgomery County, Maryland; a program manager for the National Science Foundation; and controller of the Town of Manchester, Connecticut.

MPI REGIONAL TRAINING WORKSHOP

DAY I

	Registrations	10:00 a.m.
Session 1	Welcome, Introductions, Orientation, and Overview	1:00 p.m.
Session 2	Criminal Justice Management in a Period of Resource Scarcity	1:50
Session 3	Occupational Groups	2:40
Session 4	Reports from Occupational Groups	4:00
Session 5	Cutback Management	4:20
Session 6	Summary/Evaluation Day I	5:15
	Social Hour	6:00

DAY II

Session 7	Planning for Cutback Management in the Criminal Justice System	8:30 a.m.
Session 8	Beginning a Local Plan: Strategic Issues Strategic Issues	10:15
Session 9	Local Planning Groups	10:15
	Lunch	11:45
Session 10	Introduction to Concurrent Sessions	1:15 p.m.
Session 11	Police, Courts, Corrections: Concurrent Sessions	1:30
Session 12	Police, Courts, Corrections: Concurrent Sessions	3:00
Session 13	Summary/Evaluation: Day II	4:45
	Social Hour	5:30

DAY III

Session 14	Police, Courts, Corrections: Concurrent Sessions	8:30 a.m.
Session 15	Change Strategies for Applying Cutback Tactics	10:15
Session 16	Constructing a Local Plan	11:15
Session 17	Summary and Evaluation: Day I - III	12:20 p.m.
Session 18	Closing/Certificate Awards	12:30

DAY I: WEDNESDAY

Session 1	Welcome, Introductions, Orientation, and Overview	1:00 p.m.
Session 2	Criminal Justice Management in a Period of Resource Scarcity	1:50
Session 3	Occupational Groups	2:40
Session 4	Reports From Occupational Groups	4:00
Session 5	Cutback Management	4:20
Session 6	Summary/Evaluation Day I	5:15
	Social Hour	6:00

SESSION 1

DAY I

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WELCOME, INTRODUCTIONS, ORIENTATION, AND OVERVIEW

---

Summary of Session:

The purposes of this session are to welcome participants to the MPI Executive Training Program, introduce the LEAA/NILECJ staff, and review briefly the jurisdictions which are present at the workshop.

A representative of the NILECJ will outline briefly the purpose and rationale for the selection of this topic -- Managing the Pressures of Inflation -- as part of the national training efforts of NILECJ. The relationship of this topic to the overall goals and priorities of the National Institute will be highlighted.

Members of the MPI Training Team will be introduced and participants will be provided a brief orientation to the use of the Participant Handbook, the various training methods to be used in the workshop, the workshop schedule, and the use of evaluations to measure the effectiveness of the workshop.

This session will provide a brief overview of the problem to be addressed in this workshop, and the assumptions, goals, and objectives of the workshop curriculum.

The process used by the MPI Training Team to develop the curriculum will be explained, and a brief description of each of the major conceptual components of the workshop will be given.

A session flow chart will be used to describe the several logical relationships and linkages between the various components of the curriculum design and the schedule of the workshop.

Since participants will be working in several types of small groups, instructions on the assignment of participants to these groups will be given.

## THE PROBLEM TO BE ADDRESSED

A Historical Context: 1970-1980

- Pressures To Expand
  - Demands for service growth
  - Economic growth
  - Revenue growth
  - Expenditures growth
- Pressures To Retrench
  - Recession/stagflation/inflation
  - Revenue limitations
  - Expenditures limitations
  - The psychology and reality of limits to growth
- Effects on Managers
  - Management under conditions of uncertainty, complexity, and conflict
  - Growth ideology questioned
  - Manager's actions ambiguous
- Cutback Management as an Approach

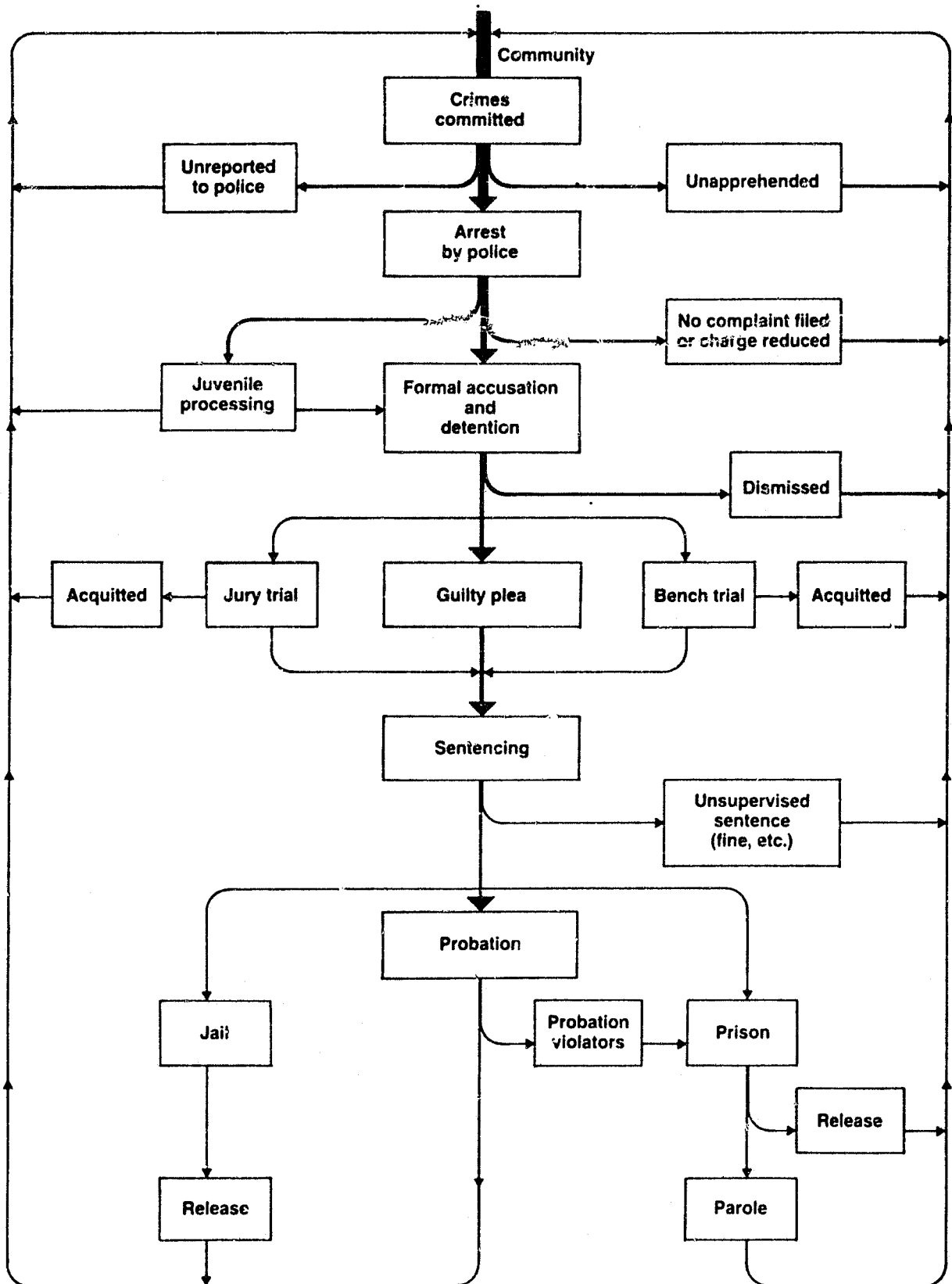
"Cutback management is an art and a skill yet to be developed adequately by managers who now must maintain organizational capacity by devising new managerial arrangements within prevailing structures that were designed under assumptions of growth".

Charles Levine, 1979

## CUTBACK MANAGEMENT ISSUES FOR CRIMINAL JUSTICE SYSTEM POLICYMAKERS AND ADMINISTRATORS

- Cutback Management Applied to a Complex System
- Cutback Management Applied to an Expanding System
- Current Opportunities and Challenges
  - Productivity improvements
  - Innovations
  - Collegiality
- Future Impacts
  - Equity issues
  - Administration of justice and values
  - Public confidence in government

## Criminal Justice System Model



SOURCE: Adapted from the President's Commission on Law Enforcement and Administration of Justice, *The Challenge of Crime in a Free Society* (Washington, D.C.: Government Printing Office, 1967), pp. 262-263.

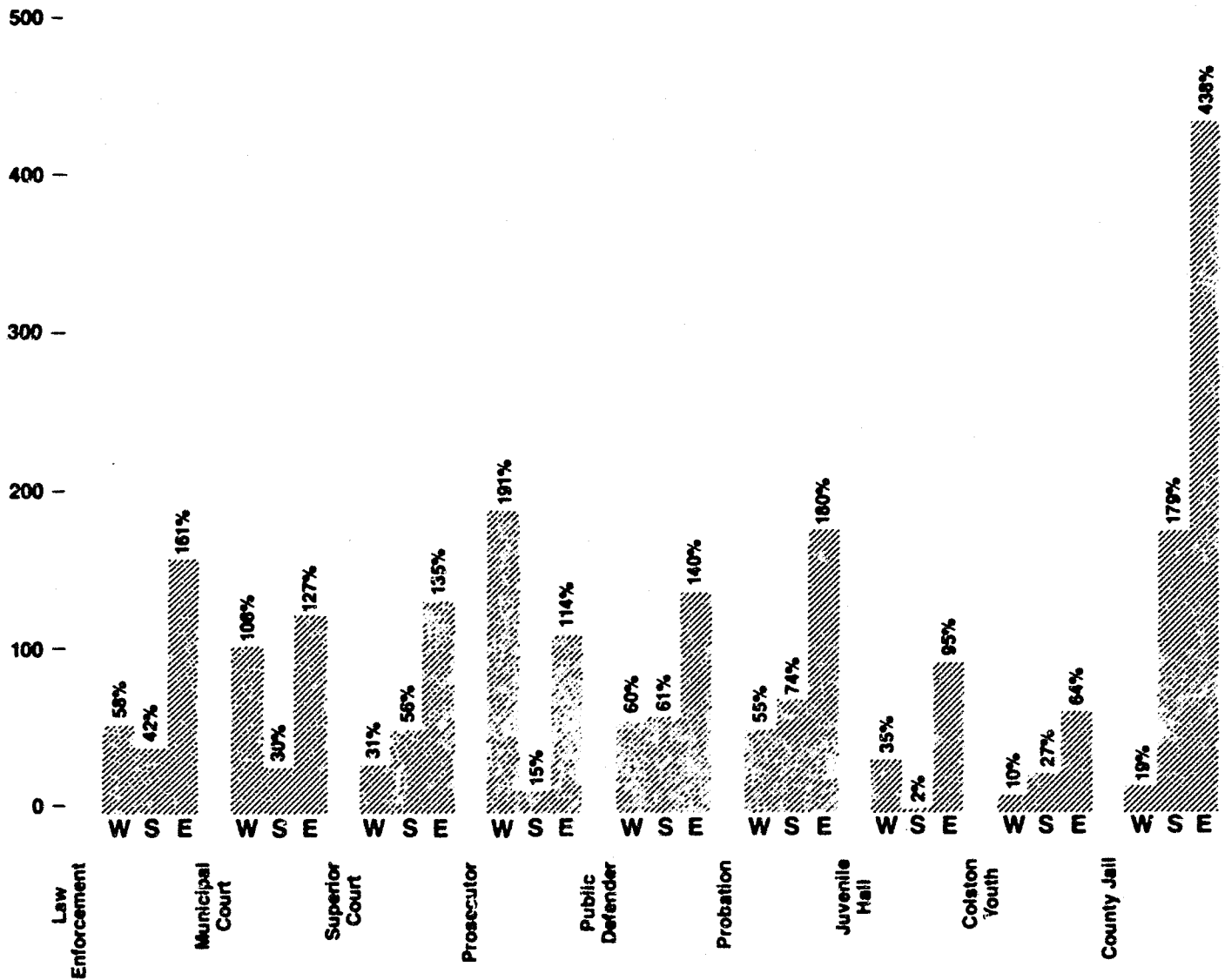


Agencies	Decisions							
	I To Define Conduct as a Crime	II To Focus Attention on a Subject	III To Arrest	IV To Charge	V To Release Defendant Pending Trial or Disposition	VI Pretrial Motions and Applications	VII To Try or To Accept Pleas	VIII To Sentence
A. Legislatures	X	X	X	X	X	X	X	X
B. Police Departments	X	X	X	X	X			
C. Prosecutor Offices	X	X	X	X	X	X		X
D. Trial Courts	X		X	X	X	X	X	X
E. Defense Bar								X
F. Public Noncriminal Justice and Private Agencies		X		X	X			X
G. Citizen/ Volunteers			X		X		X	X
H. Probation and Parole Officers				X	X			X
I. Appellate Courts	X		X	X	X	X		X

\* See Manual pages 83 - 116

# Integrated Analysis Criminal Justice System Workload, Staffing, and Expenditures Comparison FY 1967/68 to FY 1973/74

Percent of Increase



W = Workload  
S = Staffing  
E = Expenditures

\* Source: Ventura County, CA

## ASSUMPTIONS

- Short term pressures vs. long-term pressures
- New imperatives on management of the criminal justice system
- Impact on decisionmaking roles of policymakers and program administrators
- Collegial rational approach preferable and realistic
- Models and ideas are available for use.

## GOALS

- To enable local government policymakers and criminal justice program administrators to plan, manage, and implement rational cutback management approaches in the field of criminal justice so that long-range improvement goals are maintained and minimum adverse impact on criminal justice services are obtained
- To encourage local government policymakers and criminal justice administrators to understand and to use LEAA/NILECJ program improvements and innovations as feasible alternatives in the development and implementation of rational local cutback management approaches.

## OBJECTIVES

In order to accomplish these goals and in order to design a structured workshop, it is planned that by the end of the workshop participants will have accomplished the following objectives:

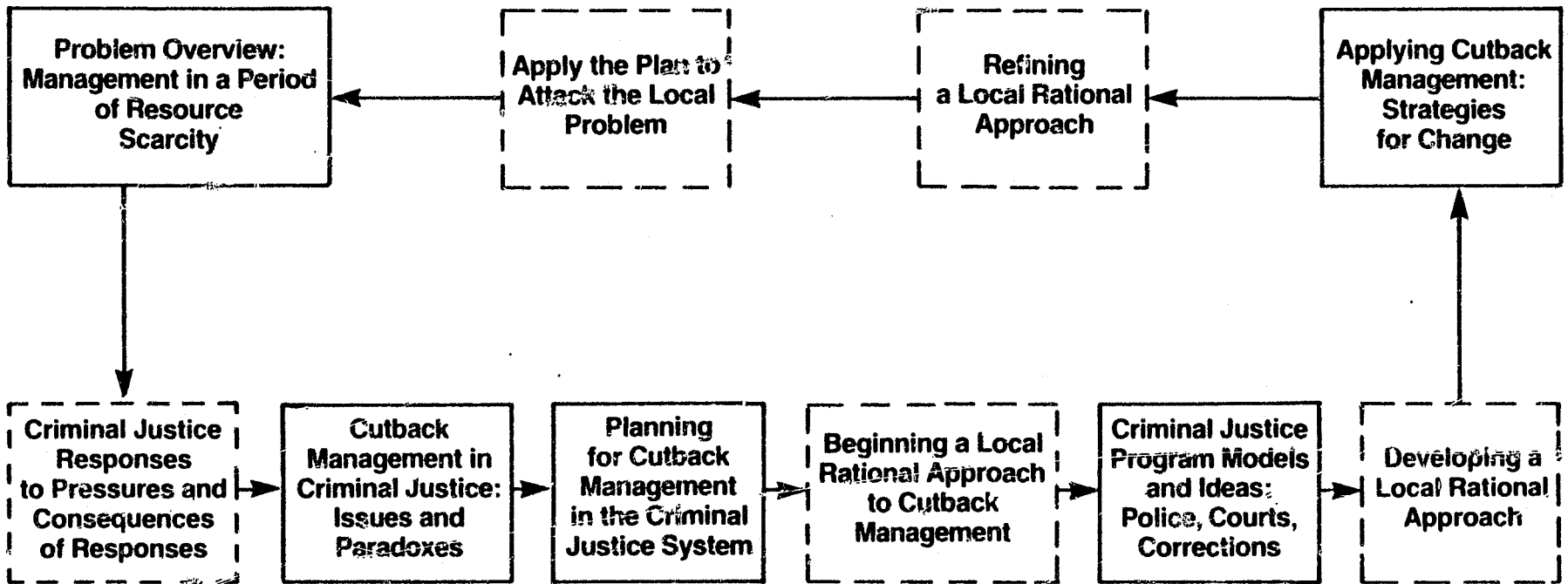
- To understand how various pressures have converged to influence and directly affect to a new degree the management of public services
- To understand the long-term impact of these pressures on revenue sources, expenditures, program policies, and program operations, particularly in the delivery of criminal justice services
- To distinguish between reactive planning for cutback management and rational planning for cutback management of criminal justice services
- To understand how various types of criminal justice program models may be used as approaches in the development and refinement of a rational approach to cutback management
- To understand the consequences of planned reductions in the delivery of criminal justice services or operations
- To develop with other members from the same jurisdiction a negotiated planned approach to cutback management of criminal justice expenditures in a way that maintains or facilitates program improvements and diminishes adverse reactions from community.

## TRAINING PROCESS

In order to accomplish these objectives, a training process has been designed which incorporates both plenary sessions and small group sessions. A diagram of this process is indicated on the next page.

# Managing the Pressures of Inflation

## Workshop Training Flow: An Incremental Group Problem-Solving Approach.



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 Plenary Sessions

 Team/Group Task Work

## CURRICULUM OUTLINE

### • CRIMINAL JUSTICE MANAGEMENT IN A PERIOD OF RESOURCE SCARCITY

A review and analysis of some of the positive and negative pressures that impact on public administration decisionmaking regarding revenues, expenditures, and delivery of services. This overview will establish the historical and current contextual framework for the remainder of the workshop.

### • CUTBACK MANAGEMENT: MEANING AND STRATEGIC ISSUES

A review and analysis of the current state of the art of both research and practices about the emerging notion of cutback management. Cutback management is seen as a new set of management activities which, because of the pressures and imperatives imposed by new realities, raises some important strategic and tactical issues for public policymakers and criminal justice program managers.

### • PLANNING FOR CUTBACK MANAGEMENT IN THE CRIMINAL JUSTICE SYSTEM

Applying cutback management tactics to the administration and operations of the local criminal justice system raises some critical questions that need to be addressed prior to any planned use of such tactics. Questions to be addressed in this session are: What tactics have been used in cutback approaches to criminal justice? What have been their planned or unanticipated consequences? What normative criteria can be used to lessen the occurrence of unanticipated consequences? What practical analytic approaches can be used as part of the beginning process for planning cutbacks in the criminal justice system?

### • PROGRAM MODELS AND IDEAS FOR IMPROVING PRODUCTIVITY IN POLICE, COURTS, AND CORRECTIONS

A review, analysis, and discussion of selected program models and ideas that either have been validated or can be used by policymakers and practitioners as ingredients for cutback management planning in criminal justice. Each of the three separate but interdependent parts of the criminal justice system will be examined, and specific approaches for each part -- police, courts, corrections -- will be presented for your discussion and use.

### • ANTICIPATING AND MANAGING CHANGES AS A CONSEQUENCE OF PLANNED CUTBACK APPROACHES

Some cutback tactics, when applied, will have the effect of altering, modifying, or even redefining individual and organizational roles or behavior in the criminal justice system. To be effective and equitable, a planned cutback approach should consider the consequences of the plan, anticipate such role changes, and incorporate into the plan means of dealing with such changes.

### • BEGINNING, DEVELOPING, AND REFINING A RATIONAL CUTBACK MANAGEMENT PLAN FOR A LOCAL JURISDICTION

Interspersed throughout the workshop will be various planned opportunities for participants from the same local jurisdiction to work as a local team in order to begin, develop, and refine a locally tailored cutback management plan of action. Three such planned opportunities are scheduled: (1) to begin to outline the dimensions of a plan; (2) to develop the plan based on information derived from sessions in the workshop; and (3) to construct a plan based on learning acquired towards the end of the workshop. These plans will be collected, retyped, and redistributed to each participant so that all participants will have a set of various plans and approaches developed by the workshop participants. These sets of plans will be sent to each of the participants approximately three weeks after the workshop.

SESSION 2

DAY I

---

CRIMINAL JUSTICE MANAGEMENT IN A  
PERIOD OF RESOURCE SCARCITY

---

Summary of Session:

This session will provide an overview of the problems of public management in the criminal justice system in times of fiscal austerity and resource scarcity. Changes in society, government financing, and service demands on the criminal justice system will be addressed. Focus will be on the impact of these broad pressures for change on the planning and management of the criminal justice system in local jurisdictions.

There are several objectives for this session presentation: to provide a contextual framework for the substantive sessions which are to follow in this workshop, and to begin to outline the boundaries of the problem to be addressed by the workshop.

An appendix contains suitable information and ideas about the emerging context of public management in a period of resource scarcity.

OVERVIEW AND INTRODUCTION

- What situation are we in?
  - Local governments
  - Criminal justice agencies
- How did we get in this situation?
  - Local governments
  - Criminal justice agencies
- Where do we go from here?

## THE CURRENT SITUATION

### ● Shifts in Municipal Financing: 1960-1975

	Percent
Gross national product (GNP)	+ 200
Municipal employees	+ 49
Municipal debt	+ 300
Municipal expenditures	+ 350
Federal aid	+1800

Source: Urban Fiscal Stress: A Comparative Analysis of 66 US Cities, The First National Bank of Boston, March 1979.

### ● Shifts in Criminal Justice Expenditures: 1971-1975

	Percent
Police	+ 64
Judicial	+ 58
Legal services/prosecutors	+ 90
Public defenders	+118
Corrections	+ 68
Other criminal justice	+308

Source: Sourcebook of Criminal Justice Statistics: 1977  
NILECJ, February 1978.

## VARIATIONS IN LOCAL GOVERNMENTS

### ● Size

- Small
- Medium
- Large

### ● Affluence

- Rich
- Poor
- Middlers

### ● Location

- Industrial Northeast
- Midwest
- Sunbelt
- Frostbelt
- Farwest and Northwest

- All have problems: all feel the squeeze; the intensity of problems and feelings are either current and real or near-future and emerging.



HOW MUCH SQUEEZE?

- Workload higher this year than last year?
- Budget same or lower than last year?
- Expectations of budget problems for next year?
- Are there other city/county departments which are being cut or limited? Are they worse off than your departments?
- Any personnel actually laid off within the past 12 months?
- Is there an overall limit on tax levels comparable to Proposition 13 type limitations? Any pending? Any being planned?

CAUSES OF THE SQUEEZE

I: THE INCOME SIDE OF THE LOCAL GOVERNMENT LEDGER

A. The Economic Base

- Businesses: Declining?  
Static?  
Inching up?
- Jobs: Declining?  
Static?  
Inching up?
- Productive Population: Declining?  
Static?  
Inching up?
- Limits on Expansion: Controllable?  
Uncontrollable?  
Static?

B. The Recession of 1974-1976

- Recovery?
- Static?
- No recovery but decline?

C. Intergovernmental Aid: Are We Reaching Limits?

- State -- How much? How much more to be expected?
- Federal -- How much? How much more to be expected?
  - 70 percent for some city operating budgets
  - 52 percent median for 14 large cities
  - The Carter Federal aid budget
  - Alas! Poor ARFA!
  - Public works
  - The future of general revenue sharing
  - CETA: plus and minus

D. Local Aid: Raising Revenue Sources -- Taxes and Bonds

- The local tax situation: a resolution of forces; therefore, hard to change
- New revenue sources: resistance or blockage at the State level
- Taxpayer resistance: Proposition 13 and other popular initiatives, referendums or local/State legislative actions
- Special bond issues: a grim future
- Antigovernment mass psychology: rational or irrational?

II: THE EXPENSE SIDE OF THE LOCAL GOVERNMENT LEDGER

A. Expenditures -- 1960-1975 -- up 350 percent or an Average of 23 Percent per Year in the Past 15 Years

B. What Has Driven Up Expenditures Rate?

● Demands for Services/Protection

- New services
- Expectations and habits
- Troubling changes and troublesome times
- Nature's acts and manmade problems
- Mandated programs

● Parkinson's Law

- "Work expands to fill the available time."
- "Work expands, no matter what, and so does staff."

● Inflation

- Affects expenses more than revenues.
- Governments lose purchasing power because assessments and tax rates can't keep up with inflation rates.
- Personnel costs average between 60 percent and 90 percent of government operating budgets; in many governments the annual rate of personnel costs is increasing 4 to 8 percent per year.
- Fringe benefits now exceed 40 percent of payroll in many governments.
- Inadequately funded pensions: a peculiar problem.
- Unions and collective bargaining tend to accelerate increases and challenge economies.

C. Problems Associated with Financial Management

- Some Governments Financially Mismanaged
- Political Situations Reward Temporizing with Expediency
- Bookkeeping and Accounting Problems
  - Lack of clarity
  - Creative bookkeeping
    - The 27th pay period
    - Five quarters of income; four of expense
    - What's capital? what's operating?
- Better Financial Management Needed.

SOME EFFECTS OF THE SQUEEZE

- The Public Atmosphere: Less Consensus, Less Civility, Less Credibility

<u>Who</u>	<u>Feelings</u>	<u>Results</u>
Citizens		
Mayors	Jumpy	
Council members	Cranky	Distracted
Administrators	Watchful	Less productive
Unions		
Employees		

- A Private Hope: Management Control is Possible

"Fiscal stress is not inevitable. Achieving a financial equilibrium between the demands for public services and financial resources appears to be within the grasp of management control of most cities."

Urban Fiscal Stress: A Comparative Analysis of Sixty-Six US Cities, March 1979

See "Manual", pages 4-25

## THE SITUATION OF CRIMINAL JUSTICE

1. An Emerging Generic Issue: How exempt from the squeeze is the criminal justice system?
2. Some Clearer Specific Issues
  - Police
    - Pay mandated by State or referenda
    - Pressures of police-fire parity
    - Binding arbitration of pay by State law
    - Sensitivity to crime news and rates
  - Courts
    - Budgetary independence yet program interdependent
    - Speedy trial requirements
    - Still developing management sophistication
  - Corrections
    - Court mandated changes in plant and operations
    - Sentencing law changes
    - Starvation corner at the budget table
  - Criminal Justice Planning
    - Dependency on Federal aid
3. The Role of Federal Aid in Criminal Justice Operations
  - Annual authorization and appropriations shake-ups
  - Though Federal aid is but five to eight percent of the total nationwide criminal justice budget, it is vital to the continuation of progress in the improvement of the system:
    - Planning and analysis
    - Records, systems, statistics
    - Special staffs and forces
    - Technology and equipment
    - Training
    - Productivity improvements through research and evaluation

## SUMMING UP

- The multifaceted dimensions of the squeeze
  - Economic shifts
  - Inflation
  - Internal pressures
  - Taxpayer resistance
  - Reduced aid
- Criminal justice agencies are nonexempt.
- Challenges for criminal justice managers
  - Commonsense realism
  - Innovation and improved productivity
  - A collegial team approach involving political policy-makers, other criminal justice managers, and other noncriminal justice agencies
- Resource limitations will continue which means that--
  - We need to keep the most productive employees, technology, and facilities in order to do the most important work.
  - We need to maintain balance for the future.
  - We need to maintain capacity to analyze and plan.
- How to meet these needs within the context of reality will form the agenda items for the remainder of this workshop.



STEP 2: As a group, select at least four pressures from the lists in STEP 1 which meet the following criteria: important and real pressures which seem to be: (1) immediate, (2) common to the group, and (3) will require a response.

PRESSURES

1. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
2. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
3. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
4. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Go to next page

STEP 3: From the list of four pressures developed in STEP 2, list for each pressure one commonly-agreed-to type of response your group feels is feasible and practical in order to handle the pressure in a rational manner.

RESPONSES

1. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
2. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
3. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
4. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Go to next page

STEP 4: As a group, what do you think would be the consequences of each of your responses as listed in STEP 3?

CONSEQUENCES

1. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
2. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
3. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
4. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

SESSION 4

DAY I

---

REPORTS FROM OCCUPATIONAL GROUP MEETINGS

---

Summary of Session

The trainer/facilitator for each group will provide to the plenary session a brief five-minute overview of the results of the group task. At the conclusion of the presentations, questions and discussion will be facilitated by a lead trainer/facilitator.

The presentation will occur in the following order and you may wish to use the spaces marked below for note-taking or for listing questions you may wish to ask of the groups.

1. Group 5: Corrections:

PRESSURES

RESPONSES

CONSEQUENCES

2. Group 4: Courts:

PRESSURES

RESPONSES

CONSEQUENCES

3. Group 3: Police/Law Enforcement:

PRESSURES

RESPONSES

CONSEQUENCES

4. Group 2: Executive:

PRESSURES

RESPONSES

CONSEQUENCES

5. Group 1: Legislative/Budget:

PRESSURES

RESPONSES

CONSEQUENCES

NOTES



---

CUTBACK MANAGEMENT IN THE CRIMINAL JUSTICE SYSTEM:

---

Summary of Session:

Criminal justice organizations are neither immortal nor unshrinkable. Organizational decline and even organizational death -- whether by planned elimination or by erosion -- is a form of change. However, all the problems of managing organizational change are compounded by a scarcity of resources and by the current reality of a scarcity of "slack" resources, i.e., those resources which, in the past, we assumed would always be present in any organization.

We know very little about the decline of public organizations and the management of cutbacks. Yet, as has been shown in the previous session, policymakers and administrators who are responsible for the management and stability of criminal justice agencies are today faced with pressures to lessen or cut budgets, expenditures, services, and personnel.

In this session we will examine the reality of the new phenomenon of cutback management, its variables, its problems, its paradoxes, and its impact on criminal justice operations.

In outline form this session will address the following issues:

- Meaning of Cutback Management
- Aspects of Management Under Financial Stress
- Preserving Organizational Capacity
- Questions about Previous Assumptions
- Paradoxes and Problems of Cutback Management
- Strategic Choices
- Austerity, Innovation, and Change

The Manual contains further developments on these issues as well as an extensive bibliography.

## CUTBACK MANAGEMENT: MEANING AND STRATEGY

### FIVE QUESTIONS

1. What aspects of management are we considering?
2. What is cutback management?
3. What is unique about managing cutbacks?
4. What strategic choices must managers make?
5. What first steps should a city take?

### A BASIC THEME

"Cutback management means managing organizational change towards lower levels of resource consumption and organizational activity."

## QUESTIONS ABOUT PREVIOUS ASSUMPTIONS

- Growth and Decline
- Credibility and Doubt
- Consensus and Conflict
- Civility and Insensitivity

PARADOXES AND PROBLEMS\*

- The Paradox of Irreducible Wholes
- The Management Science Paradox
- The Free Exit Problem
- The Tooth Fairy Syndrome
- The Participation Paradox
- The Forgotten Deal Paradox
- The Productivity Paradox
- The Mandates Without Money Dilemma
- The Efficiency Paradox

---

\*See Manual, pages 38-57

STRATEGIC CHOICES IN CUTBACK PLANNING

- Resist or Smooth
- Deep Gouge or Small Decrements
- Share the Pain or Target the Cuts
- Efficiency or Equity
- Excellence or Mediocrity

## AUSTERITY, INNOVATION, AND CHANGE

- Complacency, Convenience, and Wishful Thinking: The Enemies of Responsible Management
- Zero-Sum Politics
- Develop an Experimenting Polity
- Prioritizing
- Marketing
- Courageous Management Makes Good Politics

# Developing Strategies for Maintaining Fiscal Solvancy

## Determinants of Fiscal Condition

## Areas for Strategic Action

## Goal

Community Values  
and Priority-  
Setting Capability



Improve Planning,  
Decisionmaking,  
and Leadership

Expenditure  
Pressures



Reduce Demand  
and Cut Costs

Organization  
and Management  
Systems



Reorganize and  
Reform Systems  
for Higher  
Productivity

Clients



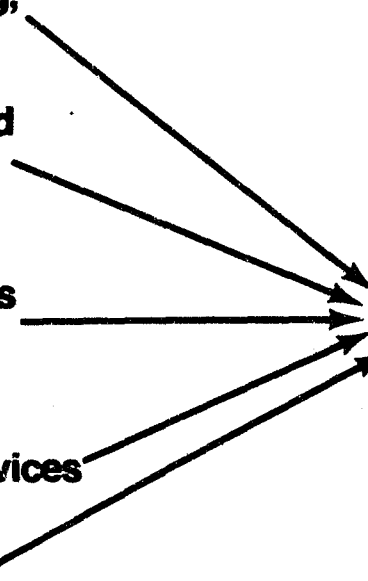
Coproduce Services

Available  
Resources



Generate New  
Resources

Fiscal Solvancy



SESSION 6

DAY I

---

REVIEW AND SUMMARY OF DAY I

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In this session, there will be a very brief review of the workshop thus far and announcements regarding the next day sessions.

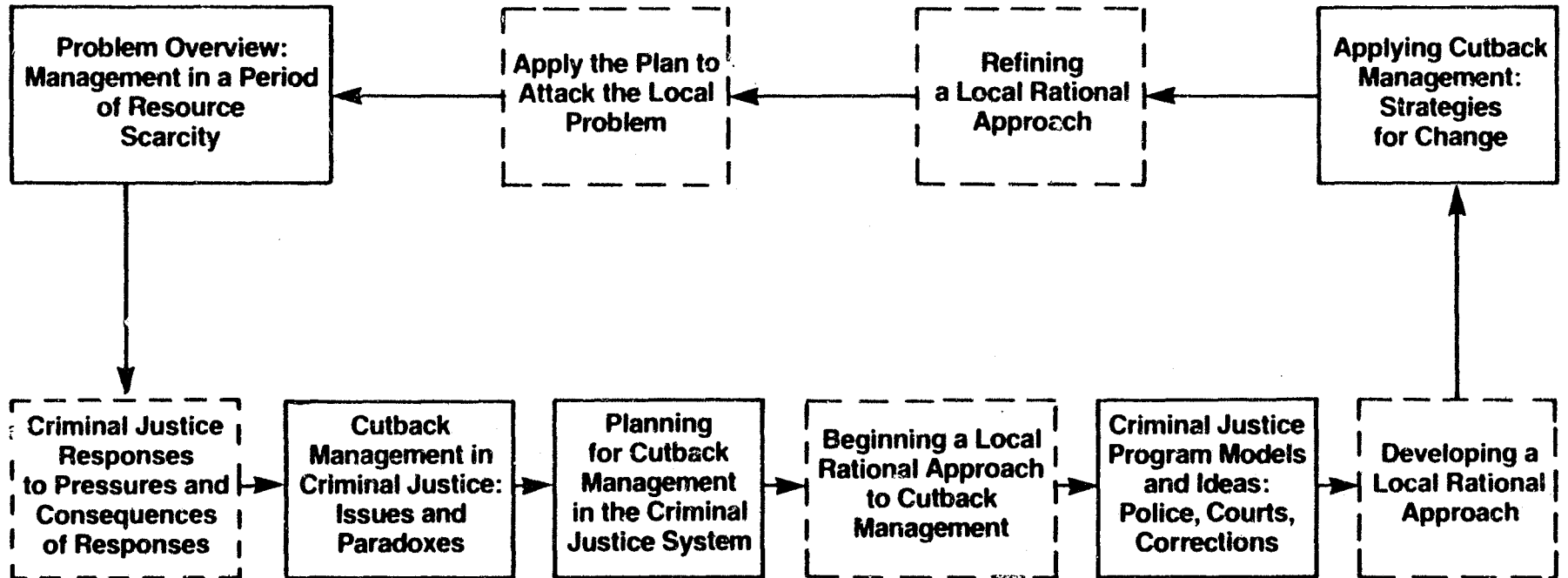
During the concluding part of this session, there will be a few minutes taken in order to evaluate the progress of the workshop thus far and in order to obtain your feedback for possible improvements in the design and delivery of the workshop in other parts of the country.

A no-host social gathering will take place at 6:00 p.m. in a room to be announced.

# Managing the Pressures of Inflation

## Workshop Training Flow: An Incremental Group Problem-Solving Approach.

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 Plenary Sessions

 Team/Group Task Work

DAY II: THURSDAY

Session 7	Planning for Cutback Management in the Criminal Justice System	8:30 a.m.
Session 8	Beginning a Local Plan: Strategic Issues	10:00
Session 9	Local Planning Groups	10:15
	Lunch	11:45
Session 10	Introduction to Concurrent Sessions	1:05 p.m.
Session 11	Police, Courts, Corrections: Concurrent Sessions	1:20
Session 12	Police, Courts, Corrections: Concurrent Sessions	3:00
Session 13	Summary/Evaluation: Day II	4:45
	Social Hour	5:30

SESSION 7

DAY II

---

PLANNING FOR CUTBACK MANAGEMENT IN THE  
CRIMINAL JUSTICE SYSTEM

---

Summary of Session

This session is a logical extension of prior sessions, especially the session on Cutback Management -- Meaning, Problems, Paradoxes and Questions. In this session, we will examine--

- Some perceptions and characteristics of the criminal justice network, noting especially the interrelatedness and interdependency among criminal justice components
- The implications for criminal justice managers of this complex and interdependent network, noting confounding conditions and some key factors affecting organizational capacity
- Ways of minimizing conditions adverse to cutback management through asking critical questions, in the right context and with the needed focus
- Emerging cutback tactics resulting from asking the following critical questions:
  - What things can you stop doing?
  - What things can you get others to do?
  - What things can you do more efficiently?
  - Where can you use low/cost or no/cost labor?
  - Where can you substitute capital for labor?
- An assessment model for assessing cutback tactics regarding their feasibility and anticipating the results, effects, and impacts of implementing the selected tactics
- Application of the assessment model through an example, focusing on resource inputs, implementation processes, immediate results, subsequent effects, ultimate impacts, and disposing conditions.



The treatment of how to identify various cutback tactics and then to assess them for utility will serve as a foundation and introduction for the next session. In the succeeding session, participants from the local jurisdictions will come together as a team to begin to identify viable tactics relevant to the practical needs and circumstances of their local jurisdiction.

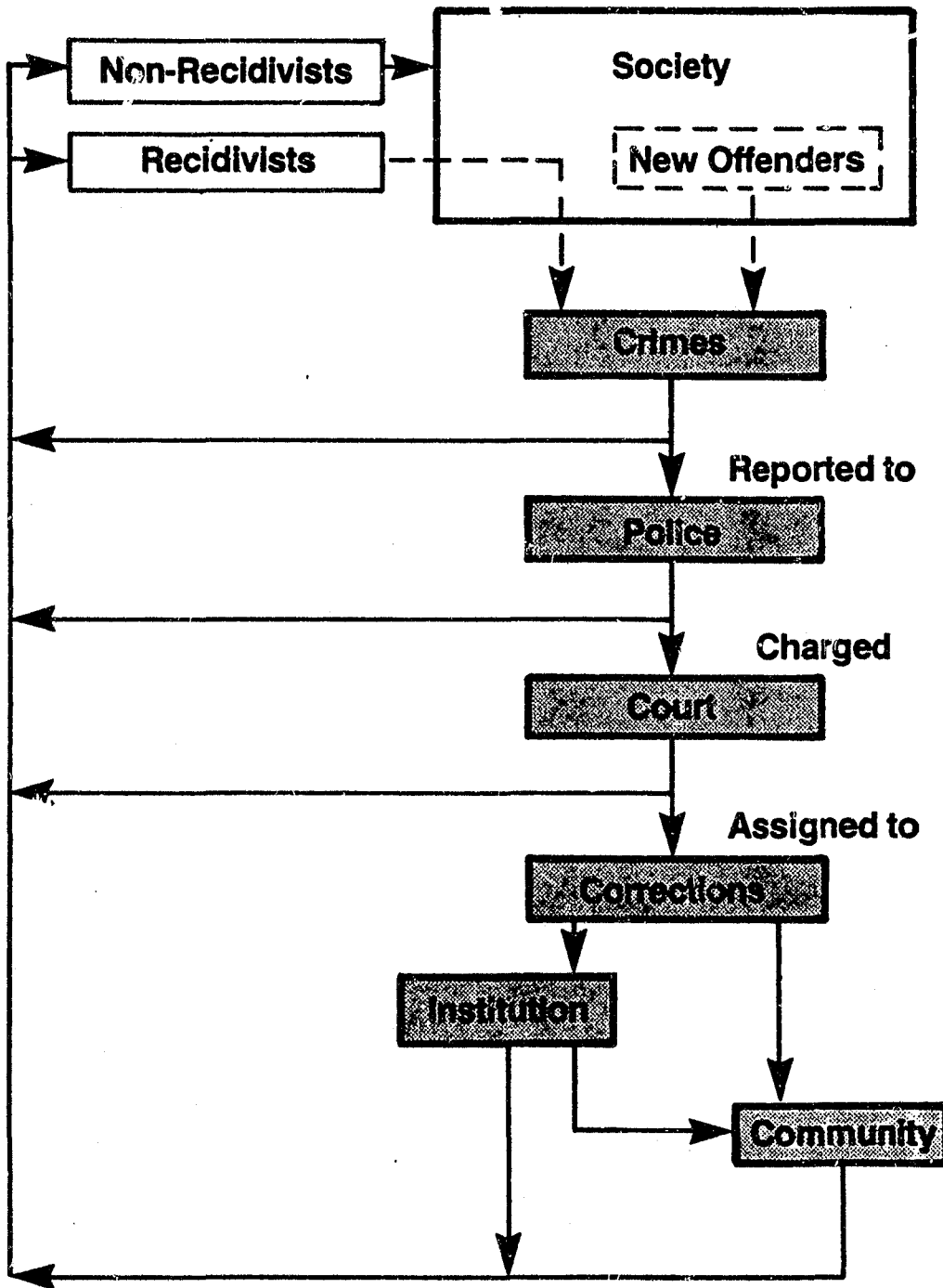
The Manual contains various readings and bibliographies which provide more detail on this session topic.

SOME PERCEPTIONS AND  
CHARACTERISTICS OF THE  
CRIMINAL JUSTICE NETWORK

Snapshots of the Criminal Justice Network:

- Simple Model: Separate Components or System?
- Sample Network: Ventura County Workload, Staffing, Expenditures -- Orderly Growth?
- Complex Model: the Reality of Interrelatedness
- A System of Interdependence: Fact and Variety

# Flow Diagram of the Criminal Justice System



# Integrated Analysis Criminal Justice System Workload, Staffing, and Expenditures Comparison FY 1967/68 to FY 1973/74

Percent of Increase

500 -

400 -

300 -

200 -

100 -

0 -

Law  
Enforcement

W S E

Municipal  
Court

W S E

Superior  
Court

W S E

Prosecutor

W S E

Public  
Defender

W S E

Probation

W S E

Juvenile  
Hall

W S E

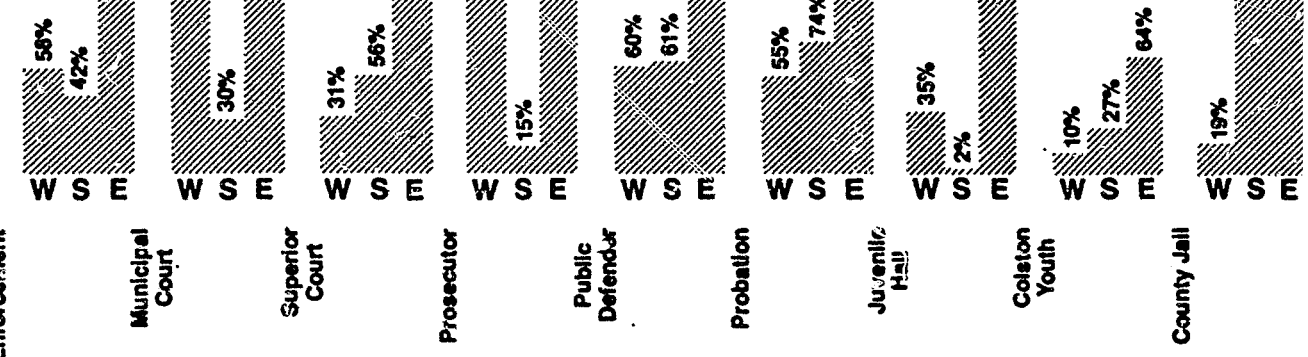
Colston  
Youth

W S E

County Jail

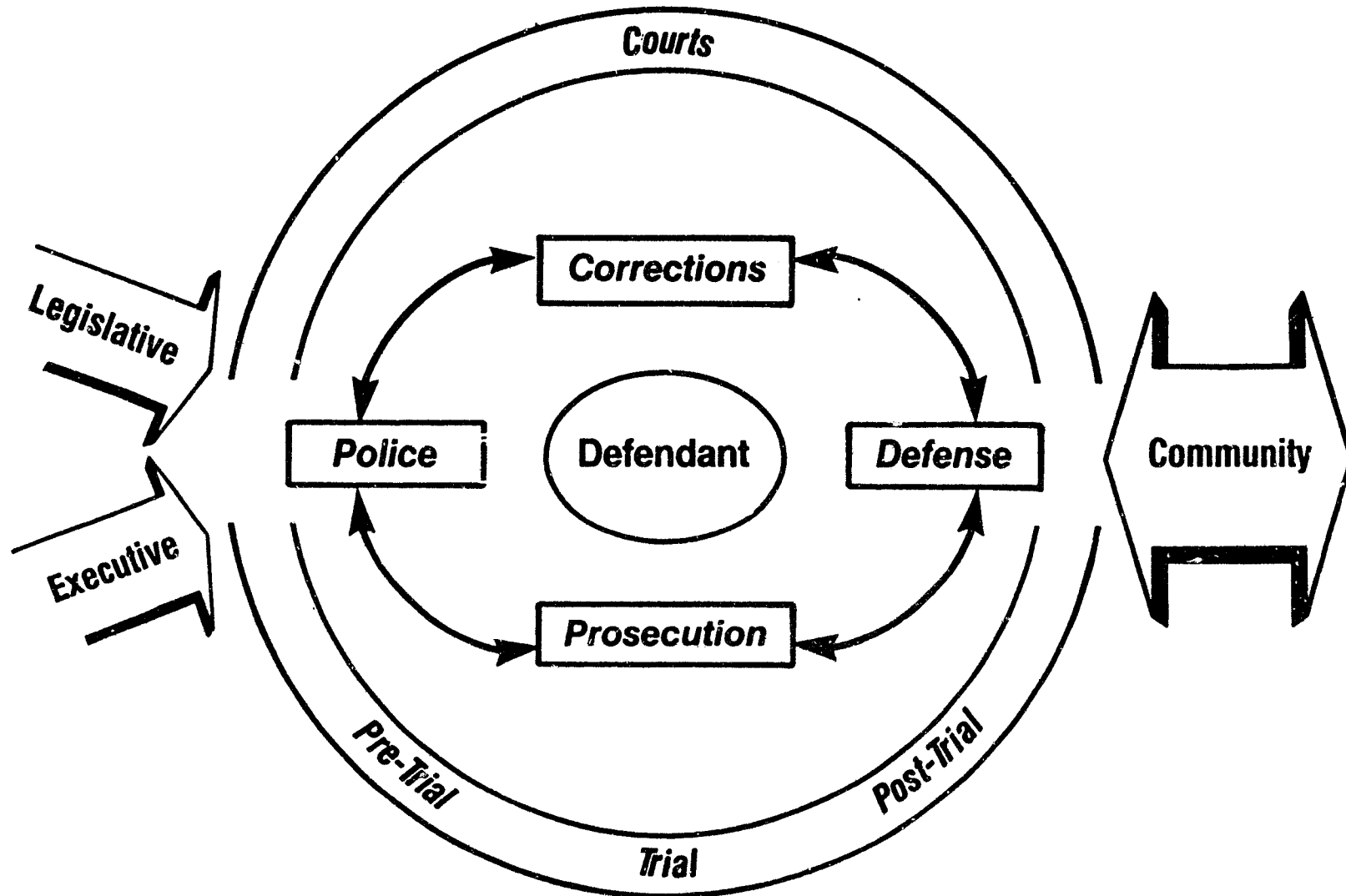
W S E

W = Workload  
S = Staffing  
E = Expenditures





# The CJS—An Interdependent Network



IMPLICATIONS FOR CRIMINAL  
JUSTICE SYSTEM MANAGERS

Resource management under conditions of--

- Uncertainty
- Complexity
- Conflict

Requires examination of the key factors affecting your organizational capacity:

- Political attitudes
- Public/community attitudes
- Organizational mission
- Cause of resource decline
- Personnel system
- Centralization
- Clientele
- Past stability
- Others.

MINIMIZING CONDITIONS ADVERSE  
TO CUTBACK MANAGEMENT AND  
ACHIEVING DESIRED RESULTS

In order to--

- Reduce uncertainty, complexity, and conflict one needs to
- Examine key factors in organizational capacity, and
- Get desired cutback management results

Justice System Managers must--

- Ask some critical questions
- In the right context
- With the needed focus.

### SOME CRITICAL QUESTIONS

- What things can you stop doing?
- What things can you get others to do?
- What things can you do more efficiently?
- Where can you use low/cost or no/cost labor?
- Where can you substitute capital for labor?

# The Right Context

Questions	Criminal Justice Agencies							
	Police	Prosecutor/ Defender	Courts	Corrections	Local Government: Executive	Local Government: Legislature	Local Community	Other
<i>What things can you stop doing?</i>								
<i>What things can you get others to do?</i>								
<i>What things can you do more efficiently?</i>								
<i>Where can you use low/cost or no/cost labor?</i>								
<i>Where can you substitute capital for labor?</i>								



. . . THE NEEDED FOCUS . . .

1. Examine Organizational Mission:

- A. What are the organizational "musts" or mandates?
- B. What are present non-mandated organizational functions?
- C. What are the activities the organization does well?
- D. What are the activities the organization does poorly?
- E. What are traditional organizational functions that have not undergone close scrutiny in recent years?
- F. . . . .

2. Examine Marginal Investments:

- A. What programs have high unit costs?
- B. What programs serve a small or isolated clientele?
- C. What programs provide services available from other organization, public or private?
- D. What programs have consistently fallen below their goals and expectations?
- E. What programs, if cut back, would have long-term pressures and greater future costs?
- F. What immediate reductions will lead to long-term pressures and greater future costs?
- G. . . . .

	STOP DOING?	GET OTHERS TO DO?	DO MORE EFFICIENTLY	LOW COST OR NO COST LABOR?	SUBSTITUTE COST FOR LABOR?
A. What are the organizational "musts" or mandates?			X	X	X
B. What are present non-mandated organizational functions?	X	X			
C. What are the activities the organization does well?			X		
D. What are the activities the organization does poorly?	X	X			
E. What are traditional organizational functions that have not undergone close scrutiny in recent years?	X	X	X		
F. . . . .					
A. What programs have high unit costs?	X	X	X	X	X
B. What programs serve a small or isolated clientele?	X	X			
C. What programs provide services available from other organization, public or private?	X				
D. What programs have consistently fallen below their goals and expectations?	X		X		
E. What programs, if cut back, would have long-term pressures and greater future costs?		X	X		
F. What immediate reductions will lead to long-term pressures and greater future costs?			X	X	X
G. . . . .					

**CONTINUED**

**1 OF 3**

. . . THE NEEDED FOCUS . . .

1. Examine Organizational Mission:

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- B. What are present non-mandated organizational functions?
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A. What are the organizational "musts" or mandates?			X	X	X
B. What are present non-mandated organizational functions?	X	X			
C. What are the activities the organization does well?			X		
D. What are the activities the organization does poorly?	X	X			
E. What are traditional organizational functions that have not undergone close scrutiny in recent years?	X	X	X		
F. . . . .					
A. What programs have high unit costs?	X	X	X	X	X
B. What programs serve a small or isolated clientele?	X	X			
C. What programs provide services available from other organization, public or private?	X				
D. What programs have consistently fallen below their goals and expectations?	X		X		
E. What programs, if cut back, would have long-term pressures and greater future costs?		X	X		
F. What immediate reductions will lead to long-term pressures and greater future costs?			X	X	X
G. . . . .					

. . . THE NEEDED FOCUS . . .

	STOP DOING?	GET OTHERS TO DO?	DO MORE EFFICIENTLY?	LOW/COST OR NO/COST LABOR?	SUBSTITUTE CAPITAL FOR LABOR
3. Install Rational-Choice Mechanisms:					
A. What management tools have been developed to assist managers and policymakers in making rational choices among competing demands?	X	X	X	X	X
B. Does some form of PPBS exist?	X	X	X	X	X
C. What program evaluation techniques have been used?	X	X	X	X	X
D. Can zero-based budgeting aid in decisions?	X	X	X	X	X
E. Other....					
4. Improve Personnel Management:					
A. Have employee inputs been solicited for reduction candidates?	X	X	X		
B. Do incentives exist to encourage employee participation?			X		
C. Have managers openly discussed resource problems with employee unions?	X	X	X	X	X
D. Have unions indicated willingness to work with managers in achieving economies?			X	X	X
E. Have productivity programs with sufficient incentives been tried or explored?			X		
F. Once made, are personnel decisions quickly carried out?			X		
G. Are some personnel over-qualified (underqualified) for tasks?			X	X	X
H. Other...					

. . . THE NEEDED FOCUS . . .

- H. Are some tasks overly complex (simple) for personnel?
- I. What administrative duties can be transferred to junior personnel?
- J. What services can be provided by part-time or consultant resources?
- K. Can volunteers be utilized for services?
- L. What additional workload can be added to slack resources?
- M. . . . .

5. Examine Equipment and Technology:

- A. Can vehicles (other equipment) be down-sized?
- B. What workload and processes can be automated?
- C. How can existing computer systems be used more efficiently?
- D. Can word-processing technology replace existing processes/personnel?
- E. What communications technology (e.g. teleconferencing) can be used to streamline processes or save person-time and costs?
- F. . . . .

	STOP DOING?	GET OTHERS TO DO?	DO MORE EFFICIENTLY?	LOW/COST OR NO/COST LABOR?	SUBSTITUTE CAPITAL FOR LABOR?
H. Are some tasks overly complex (simple) for personnel?			X	X	X
I. What administrative duties can be transferred to junior personnel?			X	X	
J. What services can be provided by part-time or consultant resources?			X	X	
K. Can volunteers be utilized for services?				X	
L. What additional workload can be added to slack resources?			X		
M. . . . .					
5. Examine Equipment and Technology:					
A. Can vehicles (other equipment) be down-sized?			X		
B. What workload and processes can be automated?			X		X
C. How can existing computer systems be used more efficiently?			X		X
D. Can word-processing technology replace existing processes/personnel?			X		X
E. What communications technology (e.g. teleconferencing) can be used to streamline processes or save person-time and costs?			X		X
F. . . . .					

. . . THE NEEDED FOCUS . . .

6. Improve External Relationships:

- A. Has the manager communicated problems to clientele?
- B. Has the manager solicited assistance from clientele?
- C. Has the manager kept the political body informed?
- D. Has the manager kept the public informed?
- E. . . . .

	STOP DOING?	GET OTHERS TO DO?	DO MORE EFFICIENTLY?	LOW/COST OR NO/COST LABOR?	SUBSTITUTE CAPITAL FOR LABOR?
A. Has the manager communicated problems to clientele?	X	X			
B. Has the manager solicited assistance from clientele?			X	X	
C. Has the manager kept the political body informed?	X	X			
D. Has the manager kept the public informed?	X	X			
E. . . . .					

## EMERGING CUTBACK TACTICS

Critical Questions framed in the right Context and with the needed Focus will result in isolating many categories of cutback tactics, such as--

- Things you can stop doing
  - Personnel hiring (cuts/freezes/attrition)
  - Service cuts
  - Program cuts
  - Shedding traditional responsibilities and patterns
- Things you can get others to do
  - Transfer of services
  - Contracting for services
  - State/county/city takeover of services
  - State/county/city takeover of funding
- Things you can do more efficiently
  - Productivity improvements in organizational units
  - Alternative approaches to existing delivery of services
  - Productivity bargaining
  - Consolidating services
  - Leasing instead of purchasing
  - Organizational changes
    - Centralization
    - Decentralization
    - Facilities closing
    - Schedule changes
    - Organizational development
  - Control of time

- Ways to use low/cost or no/cost labor

- Position reclassifications
- Task simplification
- Civilianization
- Paraprofessionals
- Volunteers

- Ways to substitute capital for labor

- Capital investment in labor-saving technology:
  - Computers
  - Work processors
  - Telecommunication systems
- Facilities improvements

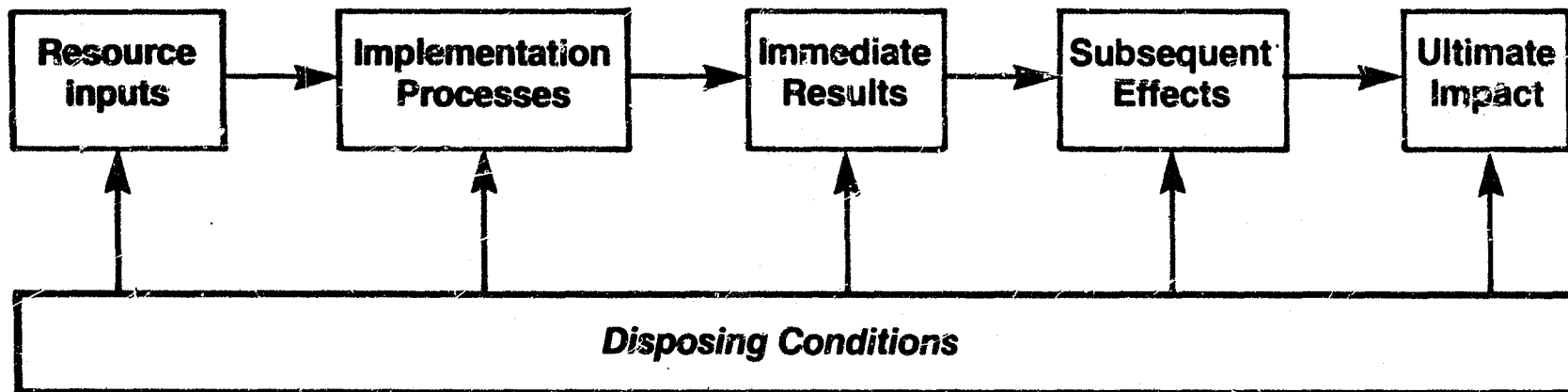
## ASSESSING CUTBACK TACTICS

Once cutback tactics have been isolated and candidates selected, the tactics should be assessed for--

- Confirming feasibility and
- Anticipating results, effects, and impacts.

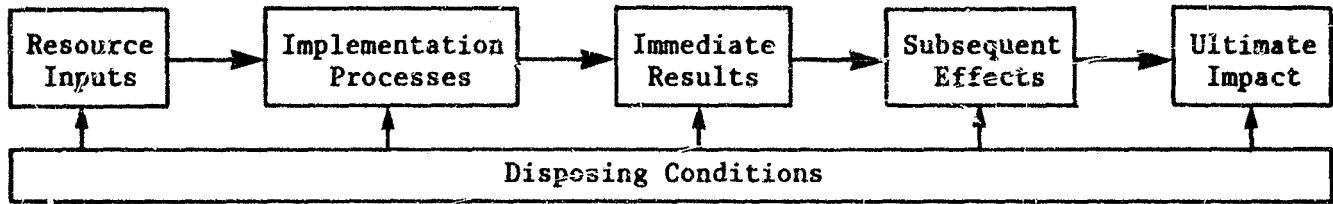
## Assessing the Use of Cutback Tactics

### Assessment Model





## A MODEL FOR ASSESSING THE USE OF CUTBACKTACTICS



- Resource Inputs -- The staff capabilities, procedures, funds needed, and other resources available for the decisionmaker to work with in order to accomplish or use the tactic.
- Implementation Processes -- The activities undertaken using these resources in order to insert the tactic into organizations.
- Immediate Results -- The direct and anticipated consequences of the activities, i.e., what happens as an immediate result of the implementation of the tactic within the organization.
- Subsequent Effects -- What happens next -- the accomplishments caused by the activities and its results; these effects may be direct and anticipated or indirect and unanticipated.
- Ultimate Impacts -- The lasting improvements that the tactic was intended to produce; these impacts may be direct and anticipated or indirect and unanticipated.
- Disposing Conditions -- All those external events and influences that facilitate or inhibit the tactic's success; these are those variable that are relevant to the tactic; they may be within the control of the decisionmaker or beyond the decisionmaker's control.

## APPLICATION OF THE ASSESSMENT

### MODEL--AN EXAMPLE

Assume that a lower court seeks to achieve efficiency through an improved case scheduling tactic: Planned and Monitored Criminal Case Scheduling

The following considerations may emerge from applying the foregoing assessment model to that tactic:

#### 1. Resource Inputs

- Personnel funds and training
- Knowledge of master calendaring technique
- Computer or manual systems
- Court rules and procedures

#### 2. Implementation Processes

- Master calendaring system
- Communication of new scheduling procedures
- Priority scheduling of cases by police, prosecutor, defender, jail
- Notification of witnesses
- Juror scheduling
- Court and judge scheduling

#### 3. Immediate Results

- System involvement (police, prosecutor, defender, etc.)
- Hidden costs: more coordination, monitoring; better information and processing needed
- Cases scheduled rationally (prioritization)
- Reduced continuances and delays
- Notification improvements
- Improved juror utilization

#### 4. Subsequent Effects

- Improved liaison functions between agencies
- Reevaluation of data collection -- eliminate unneeded data
- Improvements in attorney case preparation -- less reliance on delay tactics
- Attorney strategies (e.g., plea bargain) change due to certainty of case scheduling
- Time of police and civilian witnesses freed up for alternative uses

#### 5. Ultimate Impact

- Increased compliance with speedy trial and due process requirements
- Improved quality of litigation
- Improved case handling, systemwide
- Increased system respect/credibility by public, bar, and media
- Favorable impact on economic development (CJS confidence)

#### 6. Disposing Conditions

- Higher court decisions
- Volume of crime, crime reporting
- Cooperative relationships among agency managers
- Labor agreement
- Economic pressures on CJS.

## CONCLUSION

Planning in the criminal justice system has never been a simple process even in periods of growth. Planning for rational cutback management under severe economic pressures will be a greater challenge to local jurisdictions and agencies. A prudent use of the techniques presented in this workshop should be a substantial aid to local executives, legislators, and CJS managers.

## SESSION 8

### DAY II

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#### BEGINNING A LOCAL PLAN: IDENTIFICATION OF COMMON STRATEGIC ISSUES

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#### Summary of Session

In this session, members from the same local jurisdictions will work with each other and with representatives from nearby jurisdictions on a common task. The task is to apply to the three major parts of the criminal justice system in your locality -- police, courts, and corrections -- the five strategic questions that were reviewed in the previous session.

A matrix will be used to assist you in the process of applying these questions to the police, courts, and corrections operations. A trainer/facilitator will assist each group in the accomplishment of the task.

It should be stressed that this exercise is the first critical step in a problem-solving approach to some of the questions or issues that affect the productivity management of the criminal justice system. What is to be accomplished by this task, given the limitations of time, is that your group, composed of members of the same jurisdiction and other nearby jurisdictions, will be able to--

- Discuss with one another -- perhaps for the first time -- possible approaches to reducing costs and improving productivity in each of the major parts of the local criminal justice system
- Begin to identify through such a structured discussion possible linkages between what your agency -- police, courts, or corrections -- would do which might impact on other parts of the local criminal justice system
- Provide a framework, through the structured discussion, for further considerations about cost reductions and productivity improvements in your agency and/or the local criminal justice system -- considerations which will be presented at great length in the next series of sessions.

INSTRUCTIONS

1. Each member of the group is to list on the matrix one suggestion for each question for each of the parts of the criminal justice system: police, courts, corrections. The purpose here is to have at least some ideas for discussion.
2. Members of the same jurisdiction are to pool their ideas or suggestions and come up with one master list of acceptable suggestions. The purpose here is to encourage cross-agency discussion. Press each other in order to come up with an acceptable master listing; look for possible linkages between one agency and another. Extra copies of the matrix are provided.
3. Each jurisdiction will report its master list for the first three questions. The trainer will list these so that all jurisdictions can compare their suggestions with others.
4. The trainer and the entire group will critique the listing of suggestions by asking two questions:
  - Is the suggestion feasible?
  - Does the suggestion provide some productivity improvement?
5. The trainer will conclude this session at the appropriate time. We will reconvene, after lunch, at 1.15 p.m. in the main training room.

SMALL GROUP ASSIGNMENTS

ROOM

TRAINER

Group "1"

Group "2"

Group "3"

Group "4"

Group "5"

<b>Questions</b>	<b>Criminal Justice Agencies</b>		
	<b>Police</b>	<b>Courts</b>	<b>Corrections</b>
<i>What things can you stop doing?</i>			
<i>What things can you get others to do?</i>			
<i>What things can you do more efficiently?</i>			
<i>Where can you use low/cost or no/cost labor?</i>			
<i>Where can you substitute capital for labor?</i>			

<b>Questions</b>	<b>Criminal Justice Agencies</b>		
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<i>What things can you stop doing?</i>			
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<i>Where can you substitute capital for labor?</i>			

**Criminal Justice Agencies**

<b>Questions</b>	<b>Criminal Justice Agencies</b>		
	<b>Police</b>	<b>Courts</b>	<b>Corrections</b>
<i>What things can you stop doing?</i>			
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SESSION 9

DAY II

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INTRODUCTION TO CONCURRENT SESSIONS:

POLICE, COURTS, CORRECTIONS

PROGRAM MODELS AND IDEAS

FOR IMPROVING PRODUCTIVITY

---

Summary of Session

The next sessions -- Police Program Models and Ideas, Courts Program Models and Ideas, and Corrections Program Models and Ideas -- will be presented concurrently in three separate places.

Local team assignments, room assignments, and schedules are as follows:

<u>LOCAL TEAMS "A"</u>	<u>ROOM</u>	<u>SCHEDULE</u>
		<ul style="list-style-type: none"><li>● Police Programs: 1:30 p.m.</li><li>● Courts Programs: 3:15 p.m.</li><li>● Corrections Programs: 8:30 a.m. DAY III</li></ul>
<u>LOCAL TEAMS "B"</u>	<u>ROOM</u>	<u>SCHEDULE</u>
		<ul style="list-style-type: none"><li>● Courts Programs: 1:30 p.m.</li><li>● Corrections Programs: 3:15 p.m.</li><li>● Police Programs: 8:30 a.m. DAY III</li></ul>
<u>LOCAL TEAMS "C"</u>	<u>ROOM</u>	<u>SCHEDULE</u>
		<ul style="list-style-type: none"><li>● Corrections Programs: 1:30 p.m.</li><li>● Police Programs: 3:15 p.m.</li><li>● Courts Programs: 8:30 a.m. DAY III</li></ul>

Information to be presented in each of these sessions is listed under the appropriate heading of each session on the following pages.

At the conclusion of the two concurrent sessions for this day, we shall reconvene in this main training room at 4:50 p.m. for a brief summary and evaluation of DAY II and announcements about DAY III.

SOME OBSERVATIONS ON THE PHRASE

"IMPROVING PRODUCTIVITY"

- Productivity means the return received for a given unit of input. To improve productivity means to get a greater return for a given investment. Specialists argue over the precise definition, but it is generally assumed to be a ratio of "output" (or what results from an activity) to "input" (or the resources committed to the activity).
- Criminal justice services are not easily defined for purposes of determining productivity ratios.
- Improving productivity in criminal justice services is considered, for purposes of this workshop, to mean any one of the following four notions:
  - Improving productivity means improving current practices to the best level known, to get better performance without a proportionate increase in cost
  - Improving productivity means allocating resources to activities that give the highest return for each additional dollar spent
  - Given the uncertainties in criminal justice services definitions, productivity increases means increasing the probability that a given objective will be met
  - Improving productivity means making the most of the talents and skills of personnel in the criminal justice system.

Source: Opportunities for Improving Productivity in Police Services, (Washington, D.C.: National Commission on Productivity, 1973).

SESSION 10

DAY II

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POLICE PROGRAM IDEAS AND MODELS

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Summary of Session

This session will focus on the application of cutback management tactics and strategies to police management and operations. Where the previous sessions have provided an overview of the potential strategies that can be adopted by criminal justice agencies, this session will review a series of specific program models that have been tried and shown to offer substantial potential for meaningful improvements in effectiveness and/or cost reductions.

Cutback management can be viewed as a logical expansion of police reform efforts occurring over the last few years. Research and experience have shown that many operational improvements that affect the achievement of police goals and objectives also can save resources. Research undertaken in a number of cities indicates that many myths which have grown up around policing have prevented reforms from being adopted.

Program models, and the potential offered by these new strategies, can be best understood in the context of several important issues that have impacted criminal justice agency development. The tradition of problem solving through the addition of personnel, the everyday crisis atmosphere within which much criminal justice work occurs, and general crime orientation of many police agencies increases the difficulty of the cutback management process within the police field. Coupled with the great amount of discretion inherent in the police function, these factors make it important that the process of cutback management in the police field be well planned and carefully carried out. A review of these issues, and their implications, will be provided.

Specific program models, most of which incorporate several specific cutback strategies or options, will be reviewed. For each model, its origin, objective, and impact will be addressed. Several models will be discussed which, although not program models in the technical sense, have had success in some police agencies in meeting the goals of cutback management, that is, they have improved productivity with reduced or limited resources.

Finally, a review of the interrelationships between individual program models will be provided, along with a discussion of the type of planning necessary for any cutback effort in a police agency to have success.

An appendix to the session contains bibliographic materials and other support documentation which will be used in this session.

## HISTORICAL TRENDS

Dealing with inflationary pressures is made difficult because of a series of historical developments over the past 15 years that have directly impacted policing structures. These trends have included--

- Problems that have been solved by additions of new personnel.

As increases in police service demands have occurred, police organizations have requested and received new resources, personnel, and material. Decisions have focused on how to utilize the new resources; reductions in other services have not been mandatory or required.

- Increases in police personnel and material have increased capacity, not capability.

The focus of attention has been on the amount of service delivered rather than on the quality of that service. Rapidly growing service demands have mandated that attention has been focused upon amount of service rather than type of service.

- The low visibility of the police role has made it difficult to focus attention on what personnel were actually doing.

The police organization has the greatest amount of discretion at the bottom; patrol officers, often working alone with limited supervision, have the ability to do what they deem best, since their actions are of limited visibility. This makes productivity assessment difficult.

- There has been a broad belief that police visibility directly affected or impacted police problems, especially crime.

The rationale for additional police officers was often the belief that more police visibility would directly impact police problems, such as crime and traffic accidents.

- Improvements in technology and operations have often required additional State or Federal funding.

The improvement of the police service has rarely been undertaken at the expense of existing operations; additional resources have been found to support new technology, resulting in increased costs and ever increasing service responsibilities.

### IMPORTANT RESEARCH AND STUDY

A number of research and study efforts were undertaken over the past 15 years that made significant contributions to the state of the art of policing, directly dealing with many of the historical issues. The more important of these research efforts were the following:

- President's Commission on Law Enforcement and Administration of Criminal Justice (1966)
- President's Commission on Civil Disorders (1968)
- National Commission on Productivity (1973)
- President's Commission on Criminal Justice Standards and Goals (1973).

### MAJOR CONCERNS

Two major areas of concern grew out of these research and study efforts:

- Application of technology to the practice of policing
  - Resource allocation
  - Computer-aided dispatching
- Concern with the quality of service and the protection of individual rights
  - Minority employment/opportunities for women
  - Neighborhood responsiveness.

## IMPORTANT RESEARCH

Objective: To find out more about police operations and their impact

### Examples

- Criminal Investigations Process

- Rand

- Stanford Research International

The impact of criminal investigations on the solution to crimes

- Kansas City Preventive Patrol Study

- Police Foundation

The nature of the patrol function and the impact of random patrol on service and crime

- Kansas City Response Time Study

- Kansas City Police Department

The impact of response time to calls for service as a variable

## THE CONTEXT OF RESEARCH

- Permits rational resource reallocation
- Serves as the basis for priority-setting
- Does not indicate that police presence or action is worthless
- Does indicate that effectiveness can be improved through new systems
- Does give important guidance to dealing with inflationary pressures.

## EMERGING THEMES

- Uncommitted free time is often an available commodity among the patrol force.
- Since a large portion of police patrol time is uncommitted to responses to calls for service, unplanned random patrol time is not the best use of personnel.
- Police deal with problems, not incidents. Many calls for service are not isolated occurrences.
- Systems that provide for patrol officer accountability and resulting responsibility can improve both productivity and level of citizen satisfaction.
- Immediate response to all calls for service is not a mandatory service requirement. Citizen satisfaction depends on numerous factors, not just response time.

## CUTBACK MANAGEMENT

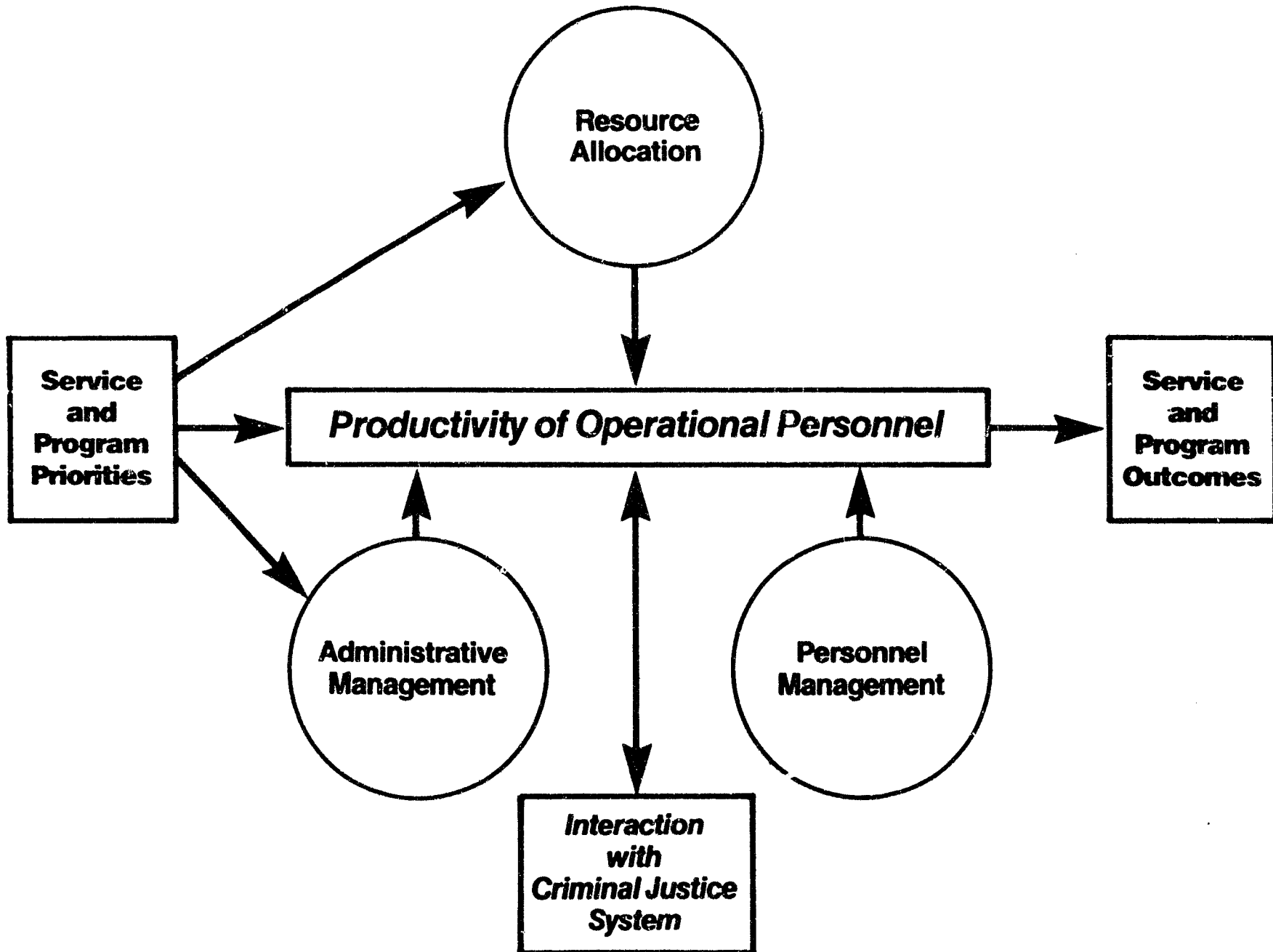
Management of the police service delivery function during a time of fiscal restraint requires acceptance of the need for selecting among service demands in a manner that responds to important community needs while achieving police objectives.

- Selecting among service demands can be done through priority-setting, which involves the--
  - Types of service (what)
  - Levels of service (how much)
  - Points of impact (where)
  - Sequence of action (order).
- Tradition is often a major user of police personnel.
- Increasing the cost among the organization for waste; increasing the feeling among personnel that waste cannot be permitted.
  - Small efforts can be as important as large efforts in setting the tone for fiscal restraint.
  - Problem of low visibility "Get away with what I can" attitude.

## IDEAS AND PROGRAM MODELS

- Resource Allocation and Planning
- Productivity of Operating Personnel
- Personnel Management
- Administrative Management
- Interaction with CJS.

# Police Program Model Interactions





## RESOURCE ALLOCATION AND PLANNING

Organization of resources in a manner that will optimize their application to service delivery and problem solving and elimination of burdensome workloads through resource planning--

- Can increase flexibility of resources
- Often requires seeking of service priorities
- Matches goals with available resources.

### Program Model Areas

1. Computerized Resource Allocation -- Is the most basic and important of cut-back management approaches since it provides the mechanism for keeping tabs on resources, their use, and their productivity. Other program models directly relate to these activities:

- PCAM
- Hypercube
- Police Allocation Model: Patrol Plan.

2. Controlling Service Demand -- Provides a management strategy for dealing with the greatest use of police resources: responding to called for services. Based upon priority setting, this strategy can greatly increase available (uncommitted) time of patrol forces by--

- Charging for services
- Eliminating services
- Transferring service responsibility to others
- Telephone reporting
- Workload management through--
  - Priority-setting leading to call prioritization
  - Call screening systems.

3. Service Consolidation -- Eliminates service duplication within agencies or among agencies where like activities are performed by a variety of personnel. Consideration of issues of control and supervision, and availability are required:

- Decentralization and assumption of specialized service by line units
- Centralization of time-consuming activities performed by many personnel
- Regionalization where individual agencies perform like functions.

## PRODUCTIVITY OF OPERATIONAL PERSONNEL

A focusing on activities performed by operational personnel, as opposed to the structural systems orientation of resource allocation, demonstrates the mix of crime-related versus noncrime-related activities and interrelates them in more meaningful operational strategies. Program models can increase time of personnel available for specialized activities, although--

- Some controversial decisions
- Require supervision strengthening.

### Program Model Areas

1. Management of Criminal Investigations -- Improving the system of criminal investigation both increases successful outcomes (arrests, clearances, and convictions) and maximizes resource utilization. There is a potential for significant resource savings through--
  - Strengthening of the patrol role
  - Case screening
  - Management of the continuing investigation.
2. Use of Uncommitted Patrol Time -- Directing patrol time not spent in criminal investigation effort or responding to calls for service toward problem solving activities can directly affect future workload or crime occurrences. Making resource allocation decisions and implementing some models is required; for example--
  - Directed patrol programs and
  - Priority standards.
3. Improving Supervision and Accountability -- Efforts aimed at eliminating waste and corruption of scarce resources can reduce the potential for public disclosures of waste and inefficiencies that would negatively impact other cutback management programs. Such efforts will--
  - Maintain municipal integrity
  - Establish accountability
  - Establish investigative monitoring systems.

## MANAGEMENT OR PERSONNEL

The quality of personnel management in an agency can have a major effect on the agency's productivity. The implementation of program models can best be achieved when important personnel management issues are addressed. These changes can be made independent of other operational changes and--

- Can have personal impact on agency personnel and
- Have the greatest potential for union resistance or for misunderstanding.
- Participative management is an important successful implementation in program models.

### Program Model Areas

1. Civilization -- Recognizing the increasing cost of specially trained sworn police personnel, an analysis of skills and knowledges required for certain positions has shown that nonsworn personnel can perform a number of functions. Civilianization requires careful matching of personnel to position and--
  - Use of volunteers
  - Use of paraprofessionals/civilians
  - Service contracting.
2. General Personnel Management -- Issues such as days personnel are working versus days personnel are not working are important since they directly affect the resource base which can be allocated. The quality of management is critical since personnel expenditures are the agency's greatest expense. Important issues are--
  - Personnel scheduling
  - Sick-leave abuse
  - Labor contract negotiations
  - Participative management.

3. Personnel Reductions/Assignments -- Several options are present when an agency is faced with the need to reduce personnel. Issues involved in selecting the most desirable option include effect or impact on career development, morale, future commitments, and reinforcement of understanding among personnel that resources are scarce. Among the options to considered are--

- Attrition versus layoff
- Reductions/attrition
- Scheduling of personnel
- Use of off-duty officers
- Reduction in lapse periods.

#### ADMINISTRATIVE MANAGEMENT

Substantial improvement in the management of nonpersonnel resources can be made that can directly impact available resources. Besides substantial savings which can be achieved, these program models can strengthen the understanding among agency personnel and community and--

- Tighten administration and management functions
- Eliminate waste and duplication
- Directly focus on cost of operations
- Minimize operational impact
- Directly focus on tradition and past history of organization.

#### Program Model Areas

1. Charging for Police Services -- Services that most directly impact on one segment of the community which has the ability to pay can be considered for fee setting as opposed to elimination. These services are--
  - Response to alarms
  - Special police services.
2. Developing Purchasing Standards -- With limited financing it becomes increasingly important that equipment purchased be able to last for substantial periods or time. Economy of operation must also become an important purchase consideration. Other considerations are--
  - ETC
  - LESL
  - Vehicle down-size program.

3. Facilities Consolidation -- One cost of facilities can be greatly reduced by merging various operations in those instances in which travel time to them would not directly impact their usefulness. Areas to be considered are--

- Maintenance operations
- Decentralized facilities.

### INTERACTION WITH THE CRIMINAL JUSTICE SYSTEM

When the decision to invoke the criminal process is made, other parts of the criminal justice system are affected. It is important for the police to focus attention on their interaction with other parts of the criminal justice system. Several program models can directly impact the resources devoted to these areas. Implementing these models can help to--

- Avoid unanticipated workload increases
- Increase convictions in criminal cases
- Improve integration of criminal justice operations among different agencies.

#### 1. Courts

- Police-prosecutor relations
- Scheduling of court appearances of officers and witnesses
- Concealed cameras project

#### 2. Probation and Parole

- Anticipatory planning
- Knowledge of client status

CUTBACK MANAGEMENT IMPACTS

When considering implementation of program models, the focus of attention is normally on the major objective of the model. Since each program model or cutback management strategy normally has impacts other than those which are intended and planned, it is important that the police manager consider both the positive and negative secondary impacts of each strategy or model to be implemented. The following format can be used:

Program Model: \_\_\_\_\_

Expected Results: \_\_\_\_\_

SECONDARY IMPACTS	TYPE OF IMPACT	
	POSITIVE	NEGATIVE
● Personnel Levels		
● Labor Agreements		
● Budget		
● Affirmative Action/EEOC		
● Minority Relationships		
● Relationships With Other Criminal Justice Agencies		

Cutback Management Impacts (Continued)

SECONDARY IMPACTS	TYPE OF IMPACT	
	POSITIVE	NEGATIVE
● Community Expectations		
● Statutes or Ordinances		
● Local Government Agencies		
● Economic Development		
● Organizational Stability		
● Crime Prevention Policy		
● Crime Control Policy		
● Incentives for Performance		
● Local Control/Home Rule		
● Workload		
● Safety		
● Measures of Performance		

SESSION 11

DAY II

---

COURTS PROGRAM MODELS AND IDEAS  
FOR IMPROVING PRODUCTIVITY

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Summary of Session

This session on courts will focus on areas of judicial action -- or legislative or executive action impacting judicial resources and activities -- offering good potential for productivity improvements. Courts generally have not shown strong management leadership and innovation in promoting techniques that support rational cutback management. Indeed, productivity improvements often occurred as a reaction to procedural requirements (dictated by legislation or court decisions) or accessible Federal grant dollars, the latter accepted frequently with caution or modest enthusiasm at best. As local courts have felt economic pressures, these pressures were, and still are, yielded to through a process of personnel attrition rather than planned resource management.

In recent years, as managerial talents have developed in court systems, court planning and management capacity have produced a number of exciting demonstrations, experiments, and projects. Many of these were stimulated by national research efforts that were looking to demonstrate better ways to operate the system of justice. While these efforts were not conceived, or executed, as cutback strategies and tactics, they nevertheless show how to improve resource productivity, streamline processes, eliminate unnecessary redundancy and, in some cases, reduce associated costs.

The areas covered in this session are not exhaustive, but they are representative of some of the most promising techniques to aid courts in preparing for cutback pressures ahead. The operating key assumption is that due to the interdependence of justice functions and actors the courts will demonstrate a greater openness to collaborative problem solving and (no less important) to continuing dialogue with other decisionmakers. The latter include not only the traditional criminal justice system managers but also those who set critical impacting boundaries on the system through their influence over public policy, public finances, and public opinion, that is, government executives and legislators.

Several program themes will be explored in this session:

- Alternatives to Traditional Adversary Process
- Resource Utilization
- Offender Disposition
- Technology and Data Systems
- Public Involvement.

For each theme a variety of program models or ideas will be reviewed, sensitive to basic policy, management, and administrative considerations. These considerations are important in highlighting--

- Difficulties in cutback management
- Problems and conflicts that arise in cutback situations, especially the effect of interdependence
- Strategic and/or tactical choices available to judicial, prosecutor, and defender managers.

The selected programs and ideas have been isolated as potential models for cutback management techniques for court managers. The word "potential" is important, because very few programs in the courts area have been sufficiently tested to verify that absolute reductions in cost may be achieved. However, the most promising programs are reviewed to stimulate discussion and consideration of wide-ranging candidates for cutback management planning.

Finally, a number of innovative and interesting techniques -- some specifically related to technological advances and others related to public involvement in judicial areas of responsibility -- will be reviewed. These techniques appear to have excellent utility for wider applications in the face of increasing cost-saving, expenditure-reducing pressures.

For deeper investigation of the areas touched on, the Manual contains supplemental material and bibliographic references.

## INTRODUCTION

- Judicial Branch -- Change Agent?
- Can the Courts Presume on the Constancy of Public Financial Support?
- Will Judicial Independence Sink the Courts in Inflation?
- Judicial Activism -- A New Awareness
- Some Dilemmas and Choices.

## ASSUMPTIONS

- Judiciary budgets are as likely, if not more likely, to be cut as police and corrections budgets.
- Changes in police and corrections expenditures, activities, and services are likely to impact judicial (including prosecutor and defender) expenditures, activities, or services.
- If cutback changes are made unilaterally and without collaboration, there is a probability that the impact of the changes will be severely negative on the other components of the justice system and will impair the quality of justice received by the public.
- If cutback changes are planned in a collaborative manner, the severity of the cutback and the diminution of needed services can be greatly minimized.
- Cutback collaborative planning can be achieved in the justice system without compromising the constitutional or statutory prerogatives afforded to the separate branches of government.
- The public will not continue to tolerate the historical individuality and isolationism in justice system planning and fiscal and resource management that exists between the courts and the rest of the justice system.

PROGRAM THEMES

- Alternatives to Traditional Adversary Process
- Resource Utilization
- Offender Disposition
- Technology and Data Systems
- Public Involvement

ALTERNATIVES TO TRADITIONAL

ADVERSARY PROCESS

- Administrative Adjudication
  - Traffic offenses
  - Prisoner grievance systems
- Arbitration and Mediation
  - Alternative models for dispute settlement
  - Juvenile arbitration
  - Mediation in small claims and domestic relations
- Decriminalization
  - Public intoxication
  - Minor offenses



## RESOURCE UTILIZATION

- Techniques for Improving Productivity
  - Trial court management
  - Case prioritization
  - Revision of fee and fine structure
  - Paralegals
  - Resource pooling
- Jury Management
  - Improved jury management -- elements
  - One day/one trial
  - One-step summoning
- Impact of Legislation, Court Decision, and Rules
  - Federal judicial impact statements
  - Justice resource estimates

## OFFENDER DISPOSITION

- Pretrial Release
  - ROR
  - Court bond
- Presentence Reports
  - Information sharing
  - Short form
- Guidelines for Sentencing
  - Disparity
  - Policy
- Alternatives to Incarceration
  - Restitution
  - Community service
  - Fines

TECHNOLOGY AND DATA SYSTEMS

- Telecommunications
  - Pretrial proceedings
  - Lawyer-client communications
  - Appellate Argument
- Automated Transcripts
  - Courts
  - Attorneys
- Videotaping
  - Witness interviews
  - Trials
- Data Systems
  - Management control
  - Operations
  - Internal planning and research
  - External policymaking

PUBLIC INVOLVEMENT

- Volunteer Services
  - Counseling
  - Probation
  - Information services
- Monitoring
  - Court watching
  - Bar evaluation
- Advisory Committees
  - Federal circuit advisory councils
  - Juvenile court committees

SESSION 12

DAY II

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CORRECTIONS PROGRAM MODELS AND IDEAS  
FOR IMPROVING PRODUCTIVITY

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Summary of Session:

This session will include a discussion of the constraints and problems that increase the complexity of a corrections approach to cutback management.

Highlighting the problems of control, philosophical uncertainty, litigation and intervention of the courts, deteriorating condition of physical plants, and focusing in detail on the issue of population management and overcrowding, the trainers will present the cost implications of two responses to the population crises: expansion of the system and alternatives to imprisonment.

The session will offer strategies aimed at refining and improving corrections planning in a period of scarcity, outline some significant ongoing research, and include descriptions of emerging corrections projects that may provide cutback models in the near future.

Supplemental readings are contained in the Manual.

OUTLINE

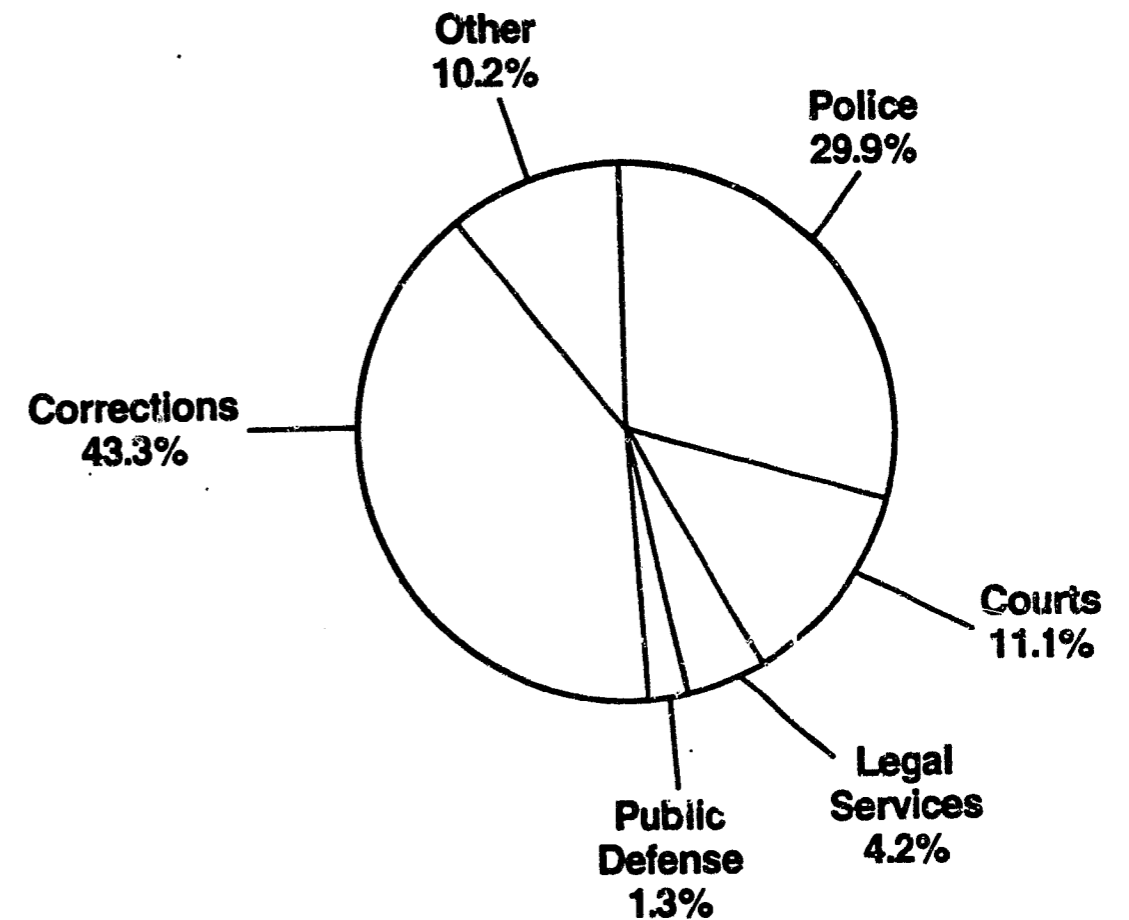
- Cutback Management: A Framework for Corrections
  - Expenditures
  - Constraints
  - Choices
- The Population Crunch
- Choice I: Not To Build ...
- Choice II: To Build ...
- Summary: Refining the Correctional Planning Process

THE COST OF CORRECTIONS

- A pattern of continual growth .... As the cost of the criminal justice system has increased by more than 200 percent since 1965, the corrections share of the criminal justice dollar, which represents approximately 20 to 23 percent of the total, is approaching \$5 billion annually.
- In 1976, the total expenditure for the criminal justice system was \$19.7 billion, representing a 14 percent increase over 1975.
- In 1976, 1,079,892 persons worked in criminal justice jobs.
- Local governments (counties and municipalities) accounted for 61 percent of all direct expenditures in criminal justice in 1976.
- In 1976, county expenditures for criminal justice reached \$4.6 billion -- a 19 percent increase from 1975.
- Within the counties, the 1976 distribution was--
  - Police -- 32 percent
  - Corrections -- 27 percent
  - Courts -- 26 percent
  - Legal services/prosecution -- 9 percent
  - Public defense -- 3 percent
  - Other -- 3 percent

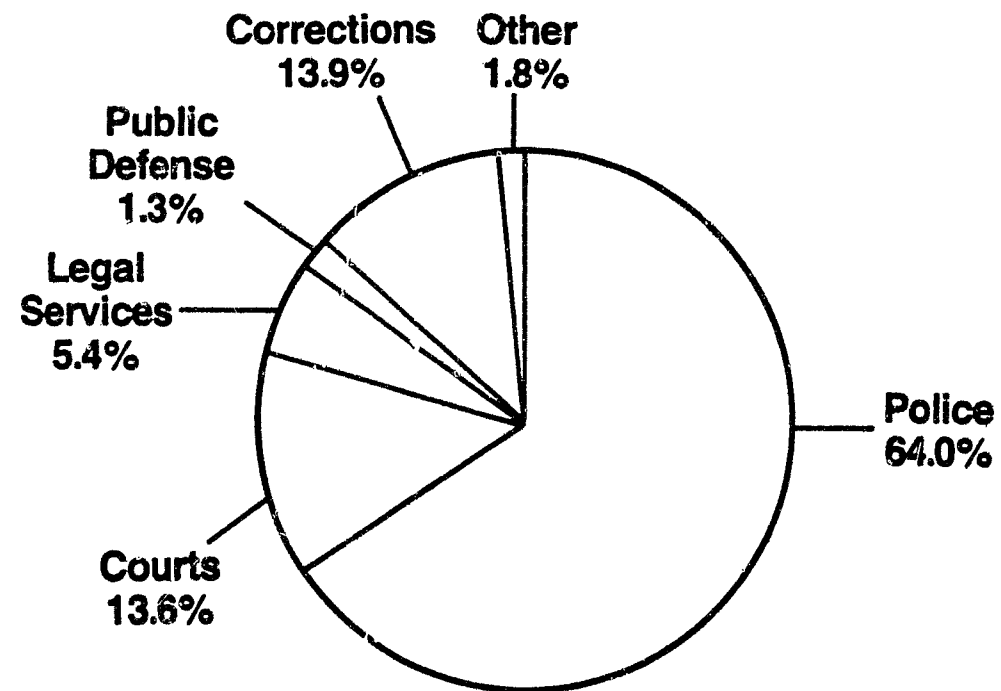
**State Government  
Criminal Justice Expenditures  
1976**

**\$5.9 Billion**



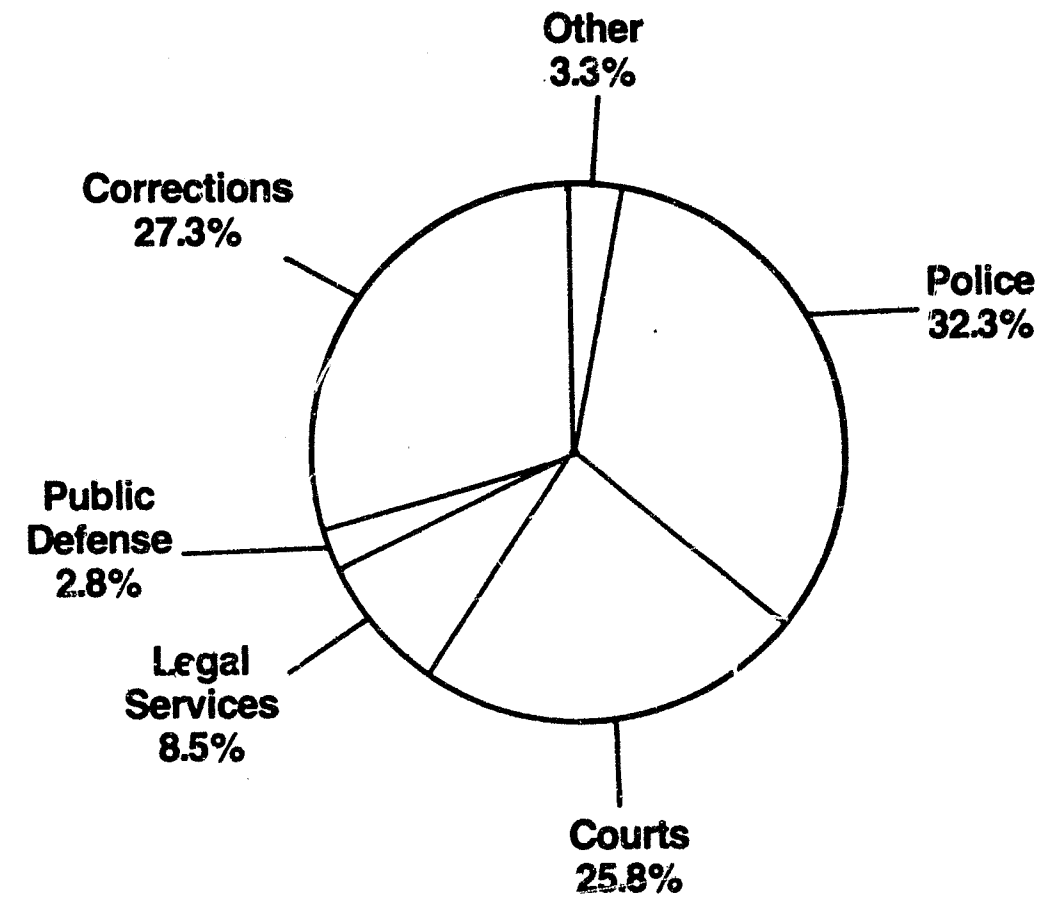
### Local Government Criminal Justice Expenditures

\$12 Billion



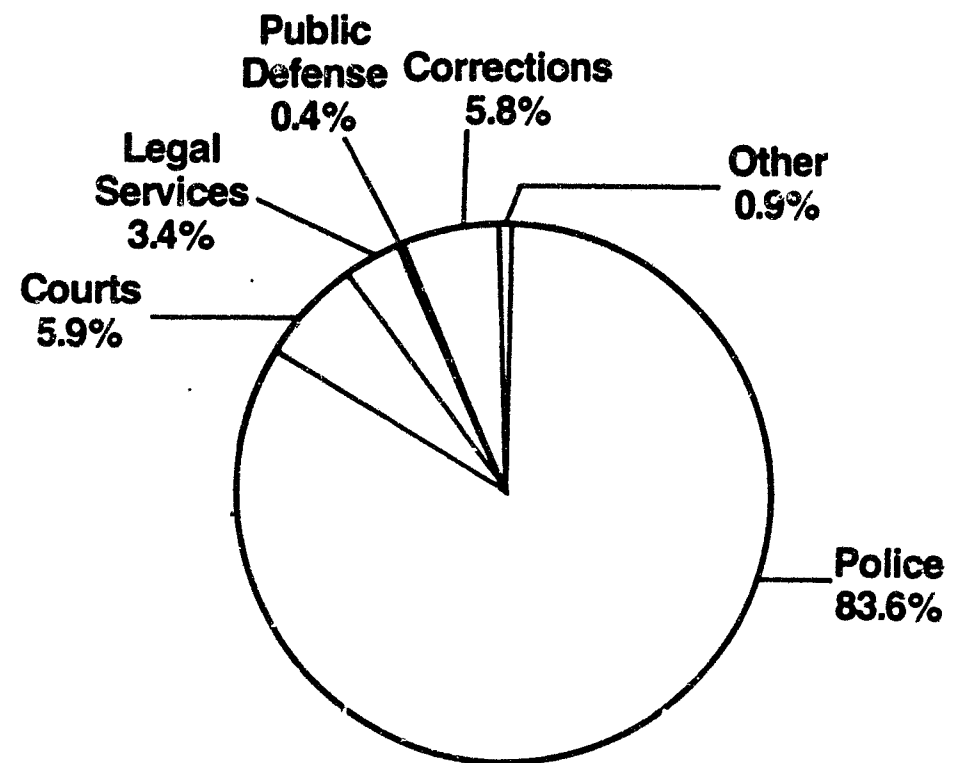
### County Government Criminal Justice Expenditures

\$4.7 Billion



## Municipal Government Criminal Justice Expenditures

**\$7.5 Billion**



## CONSTRAINTS ON CORRECTIONS MANAGERS

- Population -- Rapid growth in the States has caused backing up in jails and detention centers
- Court Intervention -- Since the late sixties, the courts have aggressively moved on issues impacting the operation of total State and local systems (e.g., overcrowding) as well as specific conditions and policies (e.g., health, access).
- Uncertainty About Mission
  - Reform?
  - Rehabilitate?
  - Restrain?
  - Reintegrate?

## CONSTRAINTS

- Security/Control Problems
  - Unrest/disturbances
  - Labor disputes
  - Shifting function of guards
  - Inmate rights issues
- Political/Legislative/Community Pressure
  - Emergence of "crime reduction" as top social priority
  - Criticism of performance of system (Martinson, Silberman, vonHirsch, van den Haag, Fogel)
  - "Get tough" legislation
  - "Build more prisons, but not in my community"

## THE POPULATION CRUNCH: A FOCUS FORCUTBACK MANAGEMENT

- In the past 20 years, State/Federal prison population has shifted abruptly twice. After gradual increases throughout the century, population dropped by 14 percent in the sixties. During the seventies the trend reversed; now facilities stretch their capacities to accommodate a population that has reached 303,103.
- While local jail population has remained constant in the seventies, the inability of many major State systems to house sentenced inmates has resulted in backing up and overcrowding detention facilities and jails in at least 13 states.\*

\*Rutherford, Andrew et al., Prison Population and Policy Choices (Washington, D.C.: N.I.L.E.C.J., 1977).

# U.S. Prison Population





## **Jails Backed-Up with State Inmates**

<b>State</b>	<b>Prison Population 1/1/79</b>	<b>Back-Up In Jails 1/1/79</b>	<b>% of Change In Pop. Since '78</b>
<b>Alabama</b>	<b>4,058</b>	<b>1,750</b>	<b>-4%</b>
<b>Florida</b>	<b>20,411</b>	<b>292</b>	<b>+5%</b>
<b>Georgia</b>	<b>11,277</b>	<b>239</b>	<b>-5%</b>
<b>Louisiana</b>	<b>6,239</b>	<b>1,190</b>	<b>+9%</b>
<b>Maryland</b>	<b>7,582</b>	<b>385</b>	<b>-2%</b>
<b>Massachusetts</b>	<b>2,682</b>	<b>110</b>	<b>-1%</b>
<b>Mississippi</b>	<b>1,833</b>	<b>971</b>	<b>+11%</b>
<b>New Jersey</b>	<b>5,863</b>	<b>70</b>	<b>-5%</b>
<b>New York</b>	<b>20,223</b>	<b>269</b>	<b>+4%</b>
<b>South Carolina</b>	<b>6,730</b>	<b>724</b>	<b>+2%</b>
<b>Tennessee</b>	<b>6,056</b>	<b>114</b>	<b>+1%</b>
<b>Virginia</b>	<b>8,313</b>	<b>1,081</b>	<b>+10%</b>
<b>Wyoming</b>	<b>456</b>	<b>14</b>	<b>+20%</b>

## IMPACTS

- Seventeen states are currently under court order to relieve poor living conditions resulting from overcrowding.
- Twenty-five states are currently involved in litigation in which overcrowding is an issue.
- It is estimated that there are in existence plans to build, rebuild, or expand more than 900 prisons and jails at a projected initial outlay of \$5 billion.
- The United States imprisons offenders at a higher rate than all but two industrialized nations in the world: 230 per 100,000 population.
- More than 500,000 persons are locked in jail or prison on any given day.
- The average Federal sentence increased from 16.5 months to 45.5 months in 20 years.
- In 1979, however, the U.S. Bureau of Prisons recorded the nation's largest drop in population, down 7 percent to 29,676 from 31,813. The decrease results from new priorities in Federal courts and earlier parole dates.

## CHOICE I: NOT TO BUILD--COMPREHENSIVE STRATEGIES

- Statewide Approach (Minnesota)

The State's Community Corrections Act of 1974 represents a major effort to reshape the State-county relationships.

The act consolidates direct services at the county or regional level, strengthens community based programs, and authorizes subsidies for the improvement and operation of local facilities.

- Local Approach (Des Moines, Iowa)

The community based corrections project in Des Moines, Iowa, integrated two pretrial release programs, new and expanded probation services, and a community based residential facility into a single service continuum.

The project represented Polk County's alternative to a new jail: It eliminated the cost of construction, provided increased services, and widened sentencing options without increasing cost or risk to the community.\*

\*For evaluative information concerning Minnesota and Des Moines, see-- Nelson, K. et al., Promising Strategies in Probation and Parole (Washington, D.C.: N.I.L.E.C.J., 1978).

Boorkman, D. et al., Community-Based Corrections in Des Moines (Washington, D.C.: N.I.L.E.C.J., 1976).

- Diversion

T.A.S.C. (Treatment Alternatives to Street Crime) is a program designed to offer the criminal justice system alternative options for processing the drug abusing offender. Forty T.A.S.C. projects are currently operational.

Primary T.A.S.C. functions include screening of arrestees to identify drug abuse, diagnosis and referral, and monitoring treatment progress.\*

- Restitution

Projects are operational in California, Maine, Georgia, Oregon, Massachusetts, Colorado, and Minnesota.

In the program, an official of the criminal justice system requires the offender to make payment of money or service to either the direct or substitute crime victim.\*\*

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\*See Toborg, M.A., Treatment Alternatives to Street Crime Projects, National Evaluation Program Report (Washington, D.C.: N.I.L.E.C.J., 1976).

\*\*See Galway, B. and Hudson, J., Offender Restitution in Theory and Action (New York: Lexington Books, 1975).

- Probation/Management Issues Impacting Cost\*

- Locus in the system:
  - Centralized/decentralized
  - Judicial/executive
- Role and function of probation officers
- Caseload management
- Service delivery
- Paraprofessionals
- Volunteers

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\*For further discussion of probation management trends see-- Banks, J., Phase I Evaluation of Intensive Special Probation Projects (Washington, D.C.: N.I.L.E.C.J., 1977).

Carlson, E. and Parks, E., Critical Issues in Adult Probation (Washington, D.C.: N.I.L.E.C.J., 1978).

- HALFWAY HOUSES\*

- Utilization options:

- Post release
- Prerelease (presumptive parole)
- Assignment at sentencing

- Need for goal clarification

- Capacity/population (current underutilization)

- Cost comparison with institutions

CHOICE II: TO BUILD--STRATEGIES FOR EFFICIENCY

- Nine hundred prison and jail projects representing \$5 billion in initial expenditures are under construction or on the drawing board.
- The cost of a cell in Minnesota or New York is projected at \$50,000. Before retirement of the bonds that repay the loan with which the cell is built, the price nearly triples.
- Operating costs for a new cell range from \$6,000 to \$26,000 per year.

\*For descriptive and evaluative material see--  
National Evaluation Program Report, (Washington, D.C.: 1977).

Thalheimer, D.J., Cost Analysis of Correctional Standards: Halfway Houses (Washington, D.C.: 1975).

A MODEL OF THE  
COST OF PRISON CONSTRUCTION  
FOR A 100-BED FACILITY

<u>ITEM</u>	<u>COST PER ITEM</u>	<u>TOTAL</u>
Construction	\$50,000 per bed	\$ 5.0 Million
Debt Service	10 percent at 20 years	\$10.0 Million
Equipment	\$5,000 per unit	\$ 0.5 Million
Debt Service	10 percent at 20 years	\$ 1.0 Million (for 20 years)
Operating and Maintenance	\$10,000 per bed/year	\$20.0 Million (for 20 years)
Architectural Fees	10 percent: \$5,000 per bed	\$ 0.5 Million
Planning, Site Acquisition, and Preparation	20 percent of construction: \$10,000 per bed	\$ 1.0 Million
	TOTAL:	\$38.0 Million (for 20-year cost)

STRATEGIES FOR EFFICIENCY IN  
NEW/REBUILT FACILITIES

- Staffing\*
  - Posting versus flexible deployment
  - Unit management\*\*
  - Program/treatment officers
  - Career ladder\*\*\*
- Contracting For Services\*\*\*\*
- Energy Management
- MIS Applications

\*See Montilla, M.R., Prison Employee Unionism, Management Guide for Correctional Administrators (Washington, D.C.: N.I.L.E.C.J., 1978) for further discussion on staffing/productivity issues.

\*\*The Federal Bureau of Prisons' Danbury facility utilizes unit management.

\*\*\*The 1978 State of Pennsylvania/A.F.S.C.M.E. Contract provides an example of a negotiated career ladder.

\*\*\*\*See Kassebau, G., Contracting for Correctional Services in the Community (Washington, D.C.: N.I.L.E.C.J., 1978).

STRATEGIES TO REDUCE COST IN THE  
CAPITAL DEVELOPMENT PROCESS

- Involvement of managers
  - Design/construction activity
- Security technology
  - Wall towers?
  - Perimeter control
  - Mobile patrol
  - Cameras
  - Communications devices
- Rethink control
  - Open interiors
  - Tight perimeter
  - Multiple use design options\*

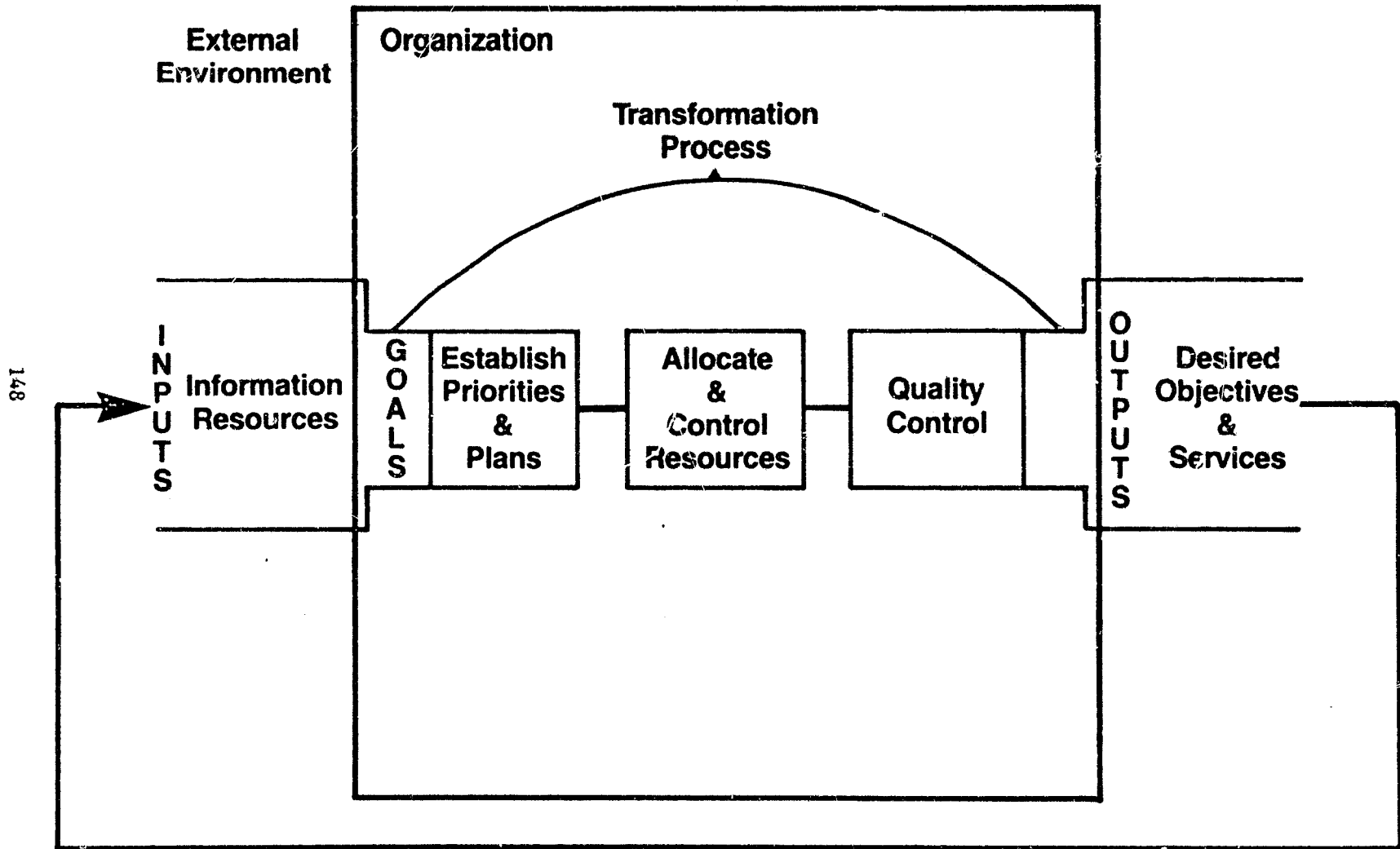
REFINING THE CORRECTIONS PLANNING PROCESS

Response to the population crunch either by expansion or through development and implementation of workable alternatives will require that corrections managers begin to refine their approach to planning and goal setting in a manner that reflects measurable outputs based on an understanding of the ability and limitations of the system.

The following adaptation of John J. McTighe's recent article from Public Administration Review, presented in the Manual, provides a possible framework for a process that too frequently is purely crisis oriented and reactive to external, public pressures which fail to recognize the limited capability of the system.

\*Recently designed jails and correctional facilities that address some of the above issues include Eagle River, Alaska; Downstate, New York (perimeter security); Washtenaw County, Ann Arbor, Michigan; Ramsey County, St. Paul, Minnesota; Maryland Reception, Diagnostic, and Classification Center, Baltimore; Lexington Assessment and Reception Facility, Lexington, Oklahoma (Regional); Mendocino County, Ukiah, California.

# Operations Management



## EXAMINE ORGANIZATION'S MISSION

- Law
- Policy
- Practice
- Public expectation
- What are the "musts"?
  - Security
  - Programs
  - Administration
- What are the nonmandated functions?
- What do we do well?
- What do we do poorly?



EXAMINE MARGINAL INVESTMENTS

- What programs have high unit costs?
  - Health
  - Intake/classification
  - Energy
- What programs have limited clientele?
- What programs consistently fall below expectations?
  - Matching education to life skills
  - Matching industries to the market (product and job)

- What recent trends are relevant to our mission?
  - Population
  - Crime rates/trends/patterns
  - Sentencing
  - Diversion
  - Technological improvements
  - New design options
- What functions have not been looked at in recent years?
  - Security staffing (fixed posts)
  - Data collection practices
  - Areas and functions where technology has advanced (e.g., perimeter, searching, package inspection, cameras, communication equipment)

- What programs, if cut, would have adverse long-term effects?
  - Research
  - Training
  - MIS development
- What immediate reductions will lead to long-term pressures and greater future costs?
  - Key security posts (inmate contact)
  - Maintenance

**CONTINUED**

**2 OF 3**

## INSTALL RATIONAL CHOICE MECHANISMS

- What tools have been developed to assist decisionmakers?
  - Analysis of security by function
  - Ratio myth
- MBO, PPBS, ZBB?
- What program evaluation techniques exist?
  - Industries: production/training?
  - Counseling: How do we measure it?\*
  - How do you monitor efficiency of security posts?

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\*See Hatcher, H.A., Correctional Casework and Counseling (Englewood Cliffs, N.J.: Prentice Hall, Inc. 1978).

SESSION 13

DAY II

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SUMMARY AND EVALUATION OF DAY II

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Summary of Session

In this session, there will be a very brief review of the workshop Thus far and announcements regarding the next day's sessions.

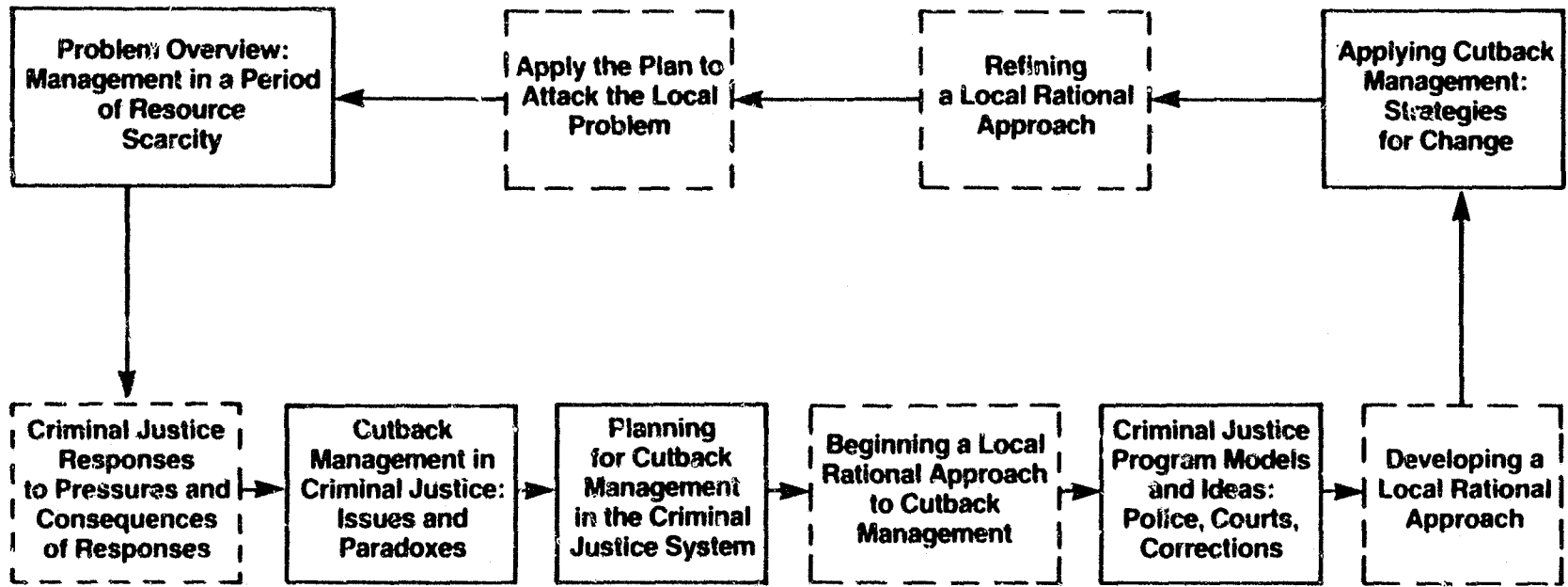
During the concluding part of this session, a few minutes will be taken in order to evaluate the progress of the workshop thus far and in order to obtain your feedback for possible improvements in the design and delivery of the workshop to other parts of the country.

A no-host social gathering will take place at 5:30 p.m. in a room to be announced.

# Managing the Pressures of Inflation

## Workshop Training Flow: An Incremental Group Problem-Solving Approach.

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 Plenary Sessions

 Team/Group Task Work

DAY III: FRIDAY

Session 14	Police, Courts, Corrections: Concurrent Sessions	8:30 a.m.
Session 15	Change Strategies for Applying Cutback Tactics	10:20
Session 16	Constructing a Local Plan	11:15 .
Session 17	Summary and Evaluation: Day I - III	12:20 p.m.
Session 18	Closing/Certificate Awards	12:30

SESSION 14

DAY III

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CONCURRENT SESSIONS: CONTINUED

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Summary of Session:

This session will be the final, third, concurrent session on Program Models and Ideas on Improving Productivity in Police, Courts, and Corrections. Please review the room assignment and schedule for this session.

At the conclusion of the session, please reconvene in the main training room at 10:15 a.m. for the beginning of Session 15.

SESSION 15

DAY III

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STRATEGIES FOR CHANGE

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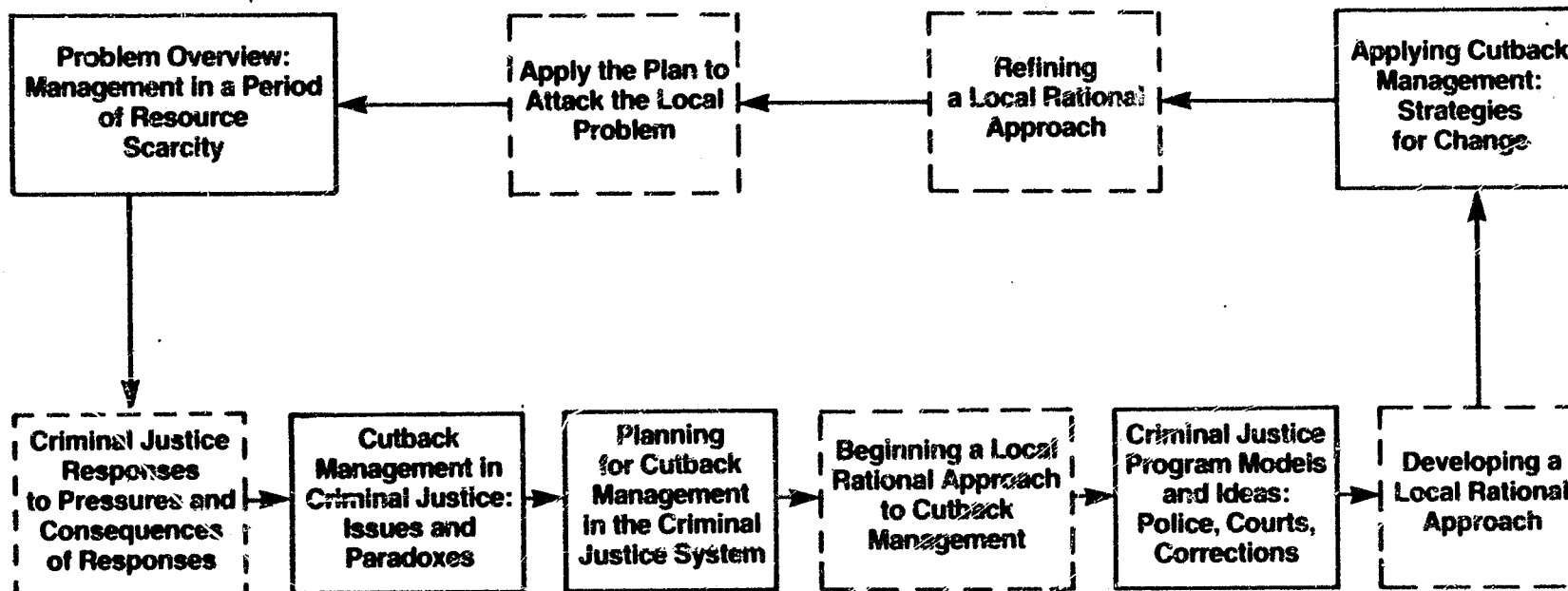
Summary of Session

The process of using knowledge about cutback management and its tactics, coupled with knowledge and information about programs to improve productivity in the police, courts, and corrections fields, is basically a process of planning to change the existing operations of the criminal justice system.

In this session, a conceptual model of planned change will be introduced and used as a framework for considering several factors that can and will influence choices concerning the application of cutback management strategies and tactics to the operations of criminal justice agencies.

# Managing the Pressures of Inflation

## Workshop Training Flow: An Incremental Group Problem-Solving Approach.



159

 Plenary Sessions

 Team/Group Task Work



### THINKING ABOUT PLANNED CHANGE

- Planning for cutback management is similar to most types of planning for change.
- Of the many conceptual models for thinking about planned change -- especially for change in complex formal organizations -- the simplest model is--

A -----> B

#### DESCRIPTION

- "A" represents the present condition, the current status, the base in which the mix of pressures is present.
- "B" represents a desirable future, a state different from the present in which the mix of pressures is resolved or effectively managed.
- "----->" represents those means, motivations, and mechanisms that may be real or latent and that are poised for use.

#### IMPETUS FOR CHANGE

- Your choice to change the organization may be due to--
  - Dissatisfaction with the present, which can be described as a push away from "A"
  - Interest in achieving the future, which can be described as a pull towards "B"
  - Emphasis on the use of existing means -- whether real or latent -- which can be described as the use of "-----" in order to transform "A" into "B"
  - A combination of dissatisfaction, interest, and emphasis.

### EMPHASIS OF MPI TRAINING

#### PROGRAM

- Assumption: There is dissatisfaction with "A."
- Assumption: There is a desirable "B."
- Focus: There are mechanisms poised for use "----->."
- These mechanisms for strategic action by decisionmakers require--
  - Improved planning, decisionmaking, and leadership
  - Reduction of demands and costs
  - Reorganization and reform of systems for higher productivity
  - Coproduction of service
  - Generation of new resources.

### CONSIDERATIONS AFFECTING THE

#### USE OF THESE MECHANISMS

- Effect of mechanisms on the world view, habits of thought, mind set, and values of the criminal justice professional
- Effect of the mechanisms on the existing operational procedures of the criminal justice organization
- Effect of the mechanisms on information processing as currently used in the criminal justice organization
- Effect of the mechanisms on the structure of the criminal justice organization.

#### THE AGGREGATE EFFECT

- The aggregate effect of these mechanisms when used will result in a different working situation for the individuals who have to operate in the organization.
- The net combination of different working situations, conditions, expectations, and assumptions will combine to reshape the behavior of the person; such reshaped behavior will recombine to form a new and different working role or job.

### CONSEQUENCES OF PLANNED CHANGE

- The intended change by which "A" is transformed to "B" through the use of "----->" may occur, just as planned, with no unanticipated consequences.
- The usual case, however, is that unanticipated consequences do occur because of side effects which were never considered.
- Side effects, because of their unintended and unexpected character, sometimes overshadow the planned change. The cost of this type of unanticipated unplanned change may be very high.
- Unanticipated side effects are caused by--
  - Errors in assessing the present condition: "A"
  - Distortions or incorrect visualization of the desirable future: "B"
  - Incorrect selection or execution of the mechanisms for transforming "A" into "B": "----->"
- Asking the right questions often can identify potential sources of error, distortion, and incorrect selection of mechanisms for change.

REDUCING SIDE EFFECTS:

A CHECKLIST OF QUESTIONS

How do you forecast, plan, and monitor for impending fiscal stress? Who should be responsible? What information should the agency collect and monitor? What official organizations and interest groups should be involved?

How do you deal with credibility and the tooth fairy syndrome?

How do you convince clients, agency heads, and unions that fiscal scarcity is for real?

How do you deal with the paradox of irreducible wholes?

Who should participate in cutback process? Who should lead the process? What costs and benefits should you weigh? How do you get people to take disproportionately large cuts?

What new revenues could you generate? In what areas could you institute user charges? What property could you sell or lease?

How do you make and keep a long-range plan for reducing agencies and services?

How do you prioritize services for cutting? ZBB? How do you avoid succumbing to irrational choices like long-term hiring freezes, absorbing attrition, across-the-board cutting?

How do you protect women and minority employees and deal with unions and merit protection boards? How do you get good ideas from other jurisdiction? How do you monitor experiments in other cities and counties? How do you convince employees, managers, and clients to try experiments that may lower costs?

How do you sell yourselves and your services to citizens to gain their confidence, cooperation, and tax dollars?

How do you prevent a bad cut in a loose system like the criminal justice system from reverberating throughout the entire system? How do you prevent or plan for dumping by parts of the system? How do you retain your planning and analysis systems and personnel in the face of cutbacks? How do you use data under conditions of impending or current fiscal stress? What data should you use or ask for from your analytic staff?

How can you make sure cuts were implemented as agreed to?

How can you monitor the impact of cuts on: (1) organizational capacity, (2) services, (3) quality of client lives, (4) business investments, and (5) local government autonomy and discretion?

How can you properly take care of your laid-off or demoted employees and clients whose services are being reduced?

What incentives can you provide for: (1) good people to stay in local government? (2) saving and conserving by program managers?

How do you continue to provide services for costly-to-serve clients?

ANTICIPATING THE  
CONSEQUENCES OF CHANGE

- For policymakers and criminal justice program managers--
  - Is there a gap between "A" and "B?"
  - Are the critical decisionmakers aware of the gap between "A" and "B?"
  - Are the critical decisionmakers motivated to resolve the gap between "A" and "B?"
  - Do the decisionmakers have the resources to resolve the gap between "A" and "B?"
  - Do the decisionmakers understand the rationality behind the choice of a mechanism for transforming "A" to "B?"
  - Are the decisionmakers aware of the aggregate effects of mechanisms on role and job definitions of line supervisors and managers?
- To get answers requires a collegial relationship between policymakers and managers.

- For criminal justice program managers--
  - Organizational policies need to be decided, prepared, and disseminated.
  - Procedures need to be developed, disseminated, and validated for operations of the policy.
  - Roles of all affected operational personnel need to be fully developed, explained, introduced, and reinforced by training.
  - Supervision and management requirements need to be anticipated and met.
  - Structural changes of the organization need to be accommodated.
  - Activities need to be closely monitored and evaluated for utility and cost savings.
  - Within the organization, all levels need the following:
    - Awareness of the gap between "A" and "B"
    - Motivation to resolve the gap between "A" and "B"
    - Resources to resolve the gap between "A" and "B"
    - Clear understanding of the mechanism "----->" for transforming "A" to "B."



3. Identify some specific approaches you intend to follow in order to resolve the problem areas listed in #1.

4. List those program ideas or models you intend to try in the police, courts, and/or corrections components of your local criminal justice system as means for improving productivity.

OUTLINE OF PLAN

JURISDICTION: \_\_\_\_\_ DATE: \_\_\_\_\_

1. List the problem or priority issue you intend to address in your local cut-back plan.

2. What will be the means -- joint meetings, coordinating councils, new criminal justice collegial planning groups, etc., -- you intend to use in order to develop a rational systemwide approach to these problems?

3. Identify some specific approaches you intend to follow in order to resolve the problem areas listed in #1.

4. List those program ideas or models you intend to try in the police, courts, and/or corrections components of your local criminal justice system as means for improving productivity.

COPY

SESSION 17

DAY III

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SUMMARY AND EVALUATION: DAY I - III

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Summary of Session

A brief review of what we have tried to accomplish during the workshop will be presented. Following this overview, there will be an evaluation of the entire workshop.

At the conclusion of the evaluation, there will be a presentation of certificates to participants.

PURPOSES OF THE MANAGING THE PRESSURES OF  
INFLATION IN CRIMINAL JUSTICE  
EXECUTIVE TRAINING PROGRAM

The workshop has been designed to accomplish the following goals and objectives:

Goals

- To enable local government policymakers and criminal justice program administrators to plan, manage, and implement rational cutback management approaches in the field of criminal justice so that long-range improvement goals are maintained and minimum adverse impact on criminal justice services are obtained
- To encourage local government policymakers and criminal justice administrators to understand and to use LEAA/NILECJ program improvements and innovations as feasible alternatives in the development and implementation of rational local cutback management approaches.

Objectives

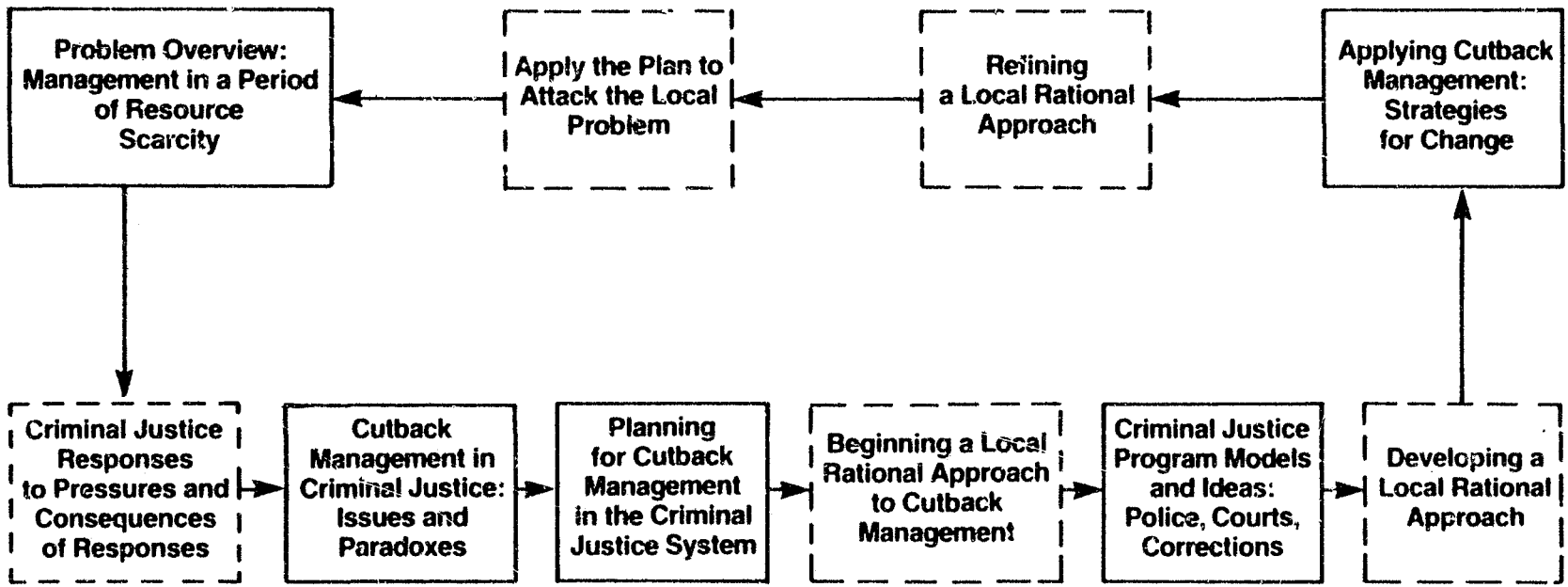
In order to accomplish these goals and in order to design a structured workshop, it is planned that by the end of the workshop participants will have accomplished the following objectives:

- To understand how various pressures have converged to influence and directly affect to a new degree the management of public services
- To understand the long-term impact of these pressures on revenue sources, expenditures, program policies, and program operations particularly in the delivery of criminal justice services
- To distinguish between reactive planning for cutback management and rational planning for cutback management of criminal justice services
- To understand how various types of criminal justice program models may be used as approaches in the development and refinement of a rational approach to cutback management
- To understand the consequences of planned reductions in the delivery of criminal justice services or operations
- To develop with other members from the same jurisdiction a negotiated planned approach to cutback management of criminal justice expenditures in a way that maintains or facilitates program improvements and diminishes adverse reactions from community.





# Managing the Pressures of Inflation

## Workshop Training Flow: An Incremental Group Problem-Solving Approach.



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