U.S. Department of Justice
Law Enforcement Assistance Administration

Criminal Justice Planning and Management Series

Volume 3

Criminal Justice Program Development Course:

Instructor Guide

Instructor Guide

PROGRAM DEVELOPMENT COURSE

Table of Contents

PROGRAM DEVELOPMENT COURSE MATERIALS

Module 1

INTRODUCTION TO PROGRAM DEVELOPMENT

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Notes and Comments

Module I: Introduction to Program Development
Segment A

INSTRUCTOR's GUIDE

1. Introduction to the Module.

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

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

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

Notes and Comments

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

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

2. What is a Program?

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

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

b. This definition tells us that a program is:

- Complex, in that it is made of a set of efforts

Notes and Comments

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

c. Programs are often contrasted with projects.

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

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

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

Notes and Comments

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

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

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

Emphasize this point

Notes and Comments

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

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

f. There are several different kinds of programs.

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

Notes and Comments

- o A second type of program is one in which the same task is performed at different locations; such as a statewide program to improve conditions in local jails. This course deals with the first type rather than the second.

g. Merely taking all of the projects which address a particular problem area or criminal justice sector and lumping them together under a common label does not constitute a program.

h. Example: Suppose you work in an agency responsible for managing the juvenile justice efforts in your jurisdiction. Very often such agencies operate or administer several different projects at once. (Refer to the right side of the visual under the heading "Juvenile Justice Projects". These projects may have been started at different times and for different reasons--i.e., one was started because the governor was concerned about drug abuse in schools; a second was started to meet federal guidelines on deinstitutionalization; a third began because of a scandal in the operation of a halfway house. The agency might think of all of these projects as constituting a program--but

Visual I-A

Notes and Comments
Ask the students to discuss this question for a few moments.

do they, given the way we have just described programs?

i. This example would not illustrate a program unless those individual projects were part of a comprehensive and integrated approach to the juvenile justice problem area. To make up a program those projects should have some logical relationship to each other and to some common goal or goals. (Refer to the left side of the visual under the heading, "A Juvenile Justice Program"). In this example the different parts of the program are connected to each other and feed into each other to improve their overall effectiveness. They are part of a "team."

- The police receive training on juvenile problems including the diversion facilities available for juveniles (Refer to visual).
- The juvenile diversion facilities are set up to fit within the policies of the court which itself is oriented to use those facilities (Refer to visual).

Notes and Comments

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

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

3. What is Program Development?

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

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

Notes and Comments

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

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

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

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

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

Notes and Comments

or organizing existing resources or ideas into new configurations.

d. Program development is a process of identifying, selecting and designing system-oriented strategies.

- The process encompasses all aspects of criminal justice and other systems as well.
- The process does not draw arbitrary boundaries on how far the program can or should extend.
- The process may also entail multiple strategies.

e. The strategies tend to be complex in that they are made up of many projects or activities. We call these parts of the program the elements of the program.

- The projects and activities should also be complementary in that they should be integrated and coordinated with each other.

f. The purpose of program development is to produce goal-directed changes.

- Goals--specifically strategic goals--are what drive program development and provide the unity which holds the process together.

Notes and Comments

g. The changes are to take place in specific criminal justice problem areas.

   - Part of the process involves defining, describing and understanding the problem to be addressed.

h. We can now define a Program as the product of the program development process. If you follow the program development process, you will have, by definition, produced a program.

   - This definition of program development is in your Student Guide. Please read it over yourself and ask any questions you may have up to this point.

4. The Importance and Use of Program Development.

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

b. The answer to that question relates to two historical facts about much of criminal justice planning:

   - In the past, much of what has been called program development has been little more than directing or redirecting money

Notes and Comments

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

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

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

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

Notes and Comments

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

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

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

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

Notes and Comments

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

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

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

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

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

5. How This Course Relates to Other Courses.

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

Notes and Comments

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

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

Visual I-B

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

c. The Model has 11 steps.

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

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

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

Notes and Comments

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

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

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

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

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

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

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

Notes and Comments

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

h. The Program Development Course <u>begins</u> with the definition of one or more problems.

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

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

Notes and Comments

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

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

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

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

Notes and Comments

Visual I-C

6. The Steps to be Completed in This Course.

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

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

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

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

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

Notes and Comments

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

See Instructor Note

d. The third step: Develop Strategic Goals.

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

INSTRUCTOR'S NOTE

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

Notes and Comments

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

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

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

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

Notes and Comments

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

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

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

Notes and Comments

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

7. Decision Points and the Decision-Packages.

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

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

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

Notes and Comments

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

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

d. Each decision point represents a logical occasion for stepping back from the process and making a choice or selection:

- Each decision point represents a refinement of the final program plan
- At each decision point the options remaining open to the program developer have been defined

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

Notes and Comments

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

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

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

Notes and Comments

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

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

8. Skills and Knowledge Needed by Program Developers.

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

b. Fact-finding and Analytic Skills.

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

Notes and Comments

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

c. Interpersonal Skills.

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

d. Technical, administrative and planning skills.

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

Notes and Comments

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

e. Operational and Content Expertise.

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

f. Obviously, the course could not cover all of these skills and areas of knowledge.

- Some involve topics worthy of an entire course by themselves.
- Others involve a knowledge of local conditions which only a person on the scene could know.

g. In this course we have attempted to strike a balance between three principle areas of skill and knowledge needed in program development.

- Technical planning skills.
- Interpersonal and group management skills.
- Substantive knowledge of the problem.

Notes and Comments

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

9. The Role of the Program Developer.

a. Program development, as defined here and taught in the course is not commonly practiced by planners in its entirety. Nor is it common to find people who have the job title of Program Developer.

- A recent survey showed that most CJ planners do some of the steps in program development. See Note.
- Twenty percent report spending over half of their time on program development-related activities.
- Only 2.1 percent said that they do no program development work at all.

b. Program development as taught here must co-exist with other planning activities.

- Planners must know when and under what conditions it is appropriate to move in the program development direction.
- Single effort project work occupies a legitimate place in the activities of

Instructor's Note

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

Notes and Comments

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

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

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

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

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

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

Notes and Comments

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

e. This course presents a model that will be observable in its entirety in relatively few cases.

- o Program developers may not be able to follow the entire Program Development model, BUT--
- o Portions of the model can still be used to good effect, in almost all planning work, regardless of the Program Developer's role.

10. Summary and Review.

a. In this module we attempted to lay out the general outline of the work before us. We discussed:

- o The concept of a program
- o The concept of program development
- o The importance and utility of program development

	Notes and Comments
• How this course relates to other courses and the General Planning Process Model • The steps in the Program Development Process to be completed in this course • Decision points and the Decision Package • Skills and knowledge needed in program development, and • The role of the program developer.	
b. To summarize what has been said consider a basic "rule-of-thumb" about programs--There are three basic reasons why a program succeeds or fails: • How well the problem is understood • How appropriate the solution is to the problem • How well the solution is carried out.	Visual I-D
c. In the discussions which follow you will hear these three "rules" several times in various forms and contexts.	
d. In the next module we will begin to address the issues raised by the first "rule"--understanding the problem.	A short time can be devoted to questions at this point.

Notes and Comments

INSTRUCTOR'S NOTES

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

Notes and Comments

3. The following issues will be discussed. They are in your Student Guide. (45 minutes)

   a. Questions for group discussion:

      1. To what extent is there a program development orientation in your agencies? If there is, how is it carried out and who does it? How extensive is it?

      2. What barriers do you see to program development in your agencies? Can they be overcome? When? How?

      3. Does the future in CJ planning seem to be generally supportive of program development?

   b. Give the group a few minutes to think about each question and to jot down ideas on each.

      - After this brief pause lead the group through the discussion one question at a time.
      - Allow the questions to be discussed for about 15 minutes each.

4. Discussion Points.

   The following points may be helpful in the class discussion period. If they do not come up in the discussion, they should be made by the instructor.

Notes and Comments

a. There are, and will continue to be, barriers to program development activities. The CJ system tends to be geared to short term responses to problems (putting out fires). Our success rate would suggest, however, that we are not really solving many CJ problems this way. On the other hand, survival suggests that it will continue to be a part of our day-to-day activities.

b. Under conditions of scarce (and scarcer) resources, we may argue that the generally more costly and time-consuming program development process is unlikely to be supported. We can't afford it; it's a luxury.

c. A strong counter-argument to the above is that we cannot afford to waste what resources we have, and the best way to insure that is to use them more wisely--or deal with real problems on a programmatic level. The program development approach, on this basis, is a necessity. And it doesn't have to be more costly.

d. The P.D. process is a way of thinking as well as (or perhaps even more than) a set

Notes and Comments

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

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

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

   a. Were the comments generally positive or negative?

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

	Notes and Comments
c. Was there any relationship noticed between size or type of agency and nature of comments?	
d. What <u>are</u> the barriers to Program Development noted most often?	
e. Were there any misconceptions revealed that ought to be cleared up now?	
6. Course Objectives. MODULE I LECTURE (continued) (10 minutes)	
a. The course objectives are in your Student Guide. They should sound very familiar because they are closely tied to each of the eight steps covered earlier.	Remind students that this material is in their Student Guide.
b. Let's go over them so that we know where we <u>should</u> be at the end of the course.	Use Visual C as these objectives are gone over.
• You should be able to assess the conceptual adequacy (completeness, accuracy, logic) of statements relating to criminal justice problems within your jurisdiction (ref. Module II);	
• You should understand the importance of establishing priorities among those problems for possible <u>programmatic</u> intervention (ref. Module II);	
• You can develop strategic goals for the problems under consideration (ref. Module III);	

Notes and Comments

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

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

Module 2

DEVELOPING AN UNDERSTANDING OF THE PROBLEM

Module II
Developing an Understanding of the Problem

Segment A: The Problem Statement

LECTURE NOTES

Notes and Comments

1. Review and Introduction

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

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

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

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

      Encourage discussion of this question.

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

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

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

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

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

Notes and Comments

Encourage discussion of this question.

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

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

2. The Relationship Between Problem Analysis and Program Development.

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

Notes and Comments

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

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

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

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

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

Notes and Comments

Visual II-A

3. The Problem Statement.

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

   b. A Problem Statement is defined as:

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

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

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

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

Notes and Comments

Definition taken from Criminal Justice Analysis Course.

Notes and Comments

d. In this course, when we talk about a Problem Statement we refer to a relatively detailed, comprehensive document following an outline such as the one shown in the Student Guide on page II-A-2a

   - o This is not to suggest that shorter or less detailed Problem Statements are necessarily inadequate for many purposes.
   - o However, when developing a program a great deal of information about a problem is required.

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

4. The Role of the Program Developer in Assessing the Adequacy of Problem Statements.

   a. In the discussion to follow we will lay out some criteria to use when assessing the information in a Problem Statement.

   b. Recognizing that different agencies use Problem Statements for different purposes, and that some agencies produce Statements with different levels of detail, this discussion also applies to the information that the program developer gathers on his or her own, regardless of the source.

Notes and Comments

c. Before discussing the kind and level of information needed in program development, this is a good place to discuss the role of the program developer during this early phase in the program development process.

d. The course is built on the premise that the program developer could be almost anyone in a planning agency.

   - In the survey conducted in the design of this course it was found that everyone from the agency director to the statistical analyst might become involved in the process, alone or as part of a team.

e. Because of this, the course assumes that the program developer could play any one of a variety of roles:

   - The program developer could be a full decision making participant with a major say in the structure and design of the program.
   - The program developer could be a staff member, responding to the wishes and demands of decision-makers, but with very little in the way of an independent voice in those decisions.

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

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

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

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

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

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

Notes and Comments

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

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

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

5. Assessing the Adequacy of Problem Statements.

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

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

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

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

Notes and Comments

Visual II-B

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

o The Problem Statement should also be conceptually adequate, in terms of:

- the degree to which the Statement describes the problem comprehensively and accurately,
- the degree to which the Statement explains the problem in a logical and consistent way.

c. The criteria of technical adequacy (i.e. sample, design, measures, etc.) is a very complex and highly specialized topic, beyond the scope of this course.

o A brief overview of some of the major issues relating to technical adequacy is contained in the text accompanying this module.

Notes and Comments

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

Notes and Comments

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

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

6. Assessing the Conceptual Adequacy of a Problem Statement.

   a. Conceptual adequacy refers to how well the Problem Statement <u>describes</u> and <u>explains</u> the problem.

   b. Conceptual adequacy is only a <u>relative</u> requirement.
      - Very few problems in criminal justice can be completely described or explained.

Notes and Comments

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

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

d. The first criteria to be considered is how well the Problem Statement describes the problem.

- o The characteristic of a good problem description is that it is comprehensive.

e. A way of assessing the comprehensiveness of a Problem Statement is to use the definition of a Problem Statement as a checklist.

- o According to the definition a Problem Statement should contain information on the:
  - Nature
  - Magnitude
  - Seriousness
  - Rate of change
  - Persons affected

Notes and Comments

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

of the problem.

f. These factors (nature, magnitude, spatial aspects, etc.), are called the components of the problem.

- Definition: *A component of a problem is a condition or an event that defines or is associated with a particular problem.*

g. The components of a problem may be described at different levels of abstraction.

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

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

7. Assessing the Explanatory Adequacy of a Problem Statement.

Notes and Comments

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

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

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

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

Visual II-C

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

Notes and Comments

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

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

Notes and Comments

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

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

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

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

Notes and Comments

presumed causes, primary and secondary effects.

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

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

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

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

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

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

Notes and Comments

Total time about 25 minutes

INSTRUCTOR'S NOTE

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

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

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

Statement

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

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

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

Notes and Comments

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

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

Notes and Comments

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

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

Notes and Comments

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

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

Notes and Comments

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

Notes and Comments

d. The reason why it is important to identify relationships between the components of a problem is because program developers can use these relationships to identify points where the program can intervene to affect a problem.

- Example: If the problem statement demonstrates a strong relationship between the age of the assailant and the likelihood of the victim being injured, the program developer might infer that a program to reduce injuries should be targeted at younger offenders.

e. By identifying relationships between components of the problem the program developer can also deduce specific strategies to affect the problem.

- Example: If a Problem Statement demonstrates there is a strong relationship between the number of street robberies in a neighborhood and the level of youth unemployment, the program developer could infer that an effective strategy might be to reduce the level of unemployment or provide alternative diversions for unemployed youth.

f. However, the program developer should be very careful in inferring too much from the information contained in a Problem Statement.

- Under ideal conditions the Problem Statement can only suggest some of the possible factors that contribute to a problem, based on a careful testing of hypotheses.

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

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

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

Notes and Comments

INSTRUCTOR'S NOTE

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

Segment 2:

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

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

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

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

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

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

Notes and Comments

Total time for this activity is about 20 minutes.

d. Walkthrough

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

Notes and Comments

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

e. After the Walkthrough the participants are to work on Paragraph 2 on their own.
   - They should be allowed 10 minutes to complete the work.

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

Notes and Comments

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

11. The Boundaries of a Problem.

a. The final aspects of a Problem Statement to be assessed are the boundaries and the level of the problem described in the Problem Statement.

Notes and Comments

b. When a problem or a concern is identified the analyst must decide where to place the limits on the analysis.

- Problems do not exist as discrete or neatly bounded entities, but intersect and overlap with other problems, events and conditions.
- Problem boundaries tend to be defined by the way the problem is first presented.
- Example: Take the relatively common crime of street robbery. If the analyst starts out by defining the "problem" as street crime he discovers that a major presumed cause of the "problem" is drug abuse and a major secondary effect is a general fear of crime among the citizens. However, the analyst could have also defined drug abuse as "the problem" in which case street robbery becomes a secondary effect and - perhaps - organized crime activity becomes a presumed cause.
- In general, "problems" are in the eye of the beholder - the problem is (or can be) as big or as small as the analyst or a decision-maker wishes to make it - which is why it is pointless

Visual II-D

Using Visual II-C with these two Visuals helps to make the point

Visual II-E

Notes and Comments

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

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

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

Notes and Comments

d. The first decision involves answering the question, "Is this really a problem?"
   - Almost any situation can be seen as a problem if it is viewed from a certain perspective.
   - However, if enough information is gathered and analyzed a reasonable person can decide whether a "problem" really exists. This is what we have been discussing in the first part of the lecture.

e. The second decision (should we address the problem now or later?) involves answering the question, "What are the consequences of dealing or not dealing with this problem now?"
   - Every problem involves some costs to someone (e.g., crime victims, the reputation of the criminal justice system, etc.). The longer a problem exists, the more costly it becomes.
   - However, a decision to deal with one problem now often means not dealing with some other problem until sometime in the future. Very often this decision involves a comparison of relative costs, long-term and short-term.
   - Question to the Participants: How do you deal with decisions like this in your agency? Give an example. Do you try to rank problems? Do you deal with all problems at the same time? What procedures do you follow?

Notes and Comments

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

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

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

Notes and Comments

- The problem should be important and should be seen as such by decision-makers, particularly in relevant operating agencies.
- The problem should be subject to comprehensive and system-level treatment.

c. The level of understanding about the problem should be relatively complete.
   - The program developer and decision-makers should be confident that the analysis of the problem was carried out correctly in a technical sense.
   - An assessment of the Problem Statement should indicate that the problem analysis is conceptually complete, comprehensive and logical.
   - There should be agreement that the problem is a problem based on the analysis.

d. There should be agreement that the problem is important.
   - The evidence in the Problem Statement should suggest the need to address the problem now.
   - The evidence should point to concrete costs to the public, the criminal justice system or some other group.
   - The evidence should indicate that the consequences of not addressing the problem would be more unfavorable than not addressing some other, competing problem.
   - The problem should be perceived as important by relevant decision makers, particularly those persons who are affected by the problem or who would

be affected by any effort to solve the problem.

e. The problem should be large enough or varied enough to require a comprehensive system-level response.

- This criterion relates back to the issue of problem boundaries discussed earlier in this Module.

  - This criterion is not precise because it largely depends on the experience and professional judgement of the program developer.

- Problems that can be handled within a single agency, or that appear to be resolvable with a few short remedies do not require the type planning suggested here.
- Problems that span several levels of the system and which require a variety of approaches are good candidates for program development.
- Problems should be selected which would require an extended level of effort over a period of time.
- Example: A problem relating only to the slow response time of police to calls for service could probably be handled within the police department itself and need not be made the subject of a program.
- Example: A problem relating to a high rate of recidivism among juvenile offenders would possibly present the type of system-level response entailed in a program.

Notes and Comments

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

14. Review: Assessing the Adequacy of a Problem Statement.

a. We will now briefly retrace the various tests we have suggested for assessing the adequacy of a Problem Statement.

b. Technical adequacy.

- Questions to be asked:
  - Is the sample (if any) adequate?
  - Are the measures and variables used suitable for the questions being asked?
  - Is the research or analysis design appropriate to the needs of the analysis?
  - Are the statistics used appropriate to the data collected?

c. Conceptual adequacy.

- General questions:
  - Does the Problem Statement describe the problem <u>comprehensively</u>?
  - Does the Problem Statement <u>explain</u> the problem in a complete and logical manner?
- Specific questions:
  - Is the problem description comprehensive in terms of indicating the:
    - nature?
    - magnitude?
    - seriousness?
    - rate of change?
    - persons affected?
    - spatial aspects?

Notes and Comments

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

Notes and Comments

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

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

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

Module II
Developing an Understanding of the Problem

Notes and Comments

SEGMENT B: WORKSHOP ON THE PROBLEM STATEMENT

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

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

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

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

3. Note on the Problem Statement

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

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

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

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

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

Notes and Comments

See Instructor's Note

INSTRUCTOR'S NOTE

The workshop will be carried out in two steps:

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

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

a. You will be given <u>one hour</u> to complete the reading. You will be asked to do this on your own. You can go to your room, stay here, or go to a place of your choice.

b. As you read, make notes on the Statement as to its:
   - Comprehensiveness of Description.
   - Completeness and Logic of Explanation.
   - Adequacy of the Scope of the Problem as described.

c. Use the worksheet included at the end of the Problem Statement (it can be removed) to guide your assessment.

d. Return to this room at _____.

Notes and Comments

Notes and Comments

5. Debriefing

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

b. Comprehensiveness of Description.

- Does the Problem Statement provide information on each of the components of the problem relating to:
  - the nature of the problem?
  - its magnitude?
  - seriousness?
  - rate of change?
  - the persons affected?
  - spatial aspects?
  - temporal aspects?
  - system response?
  - origins?
- What other information would be useful for a better understanding of the problem?
- Note: the only component of the problem not covered in the Problem Statement at least to some extent is the "temporal" aspects of arson. Most students pick up on this point.
- The Problem Statement is relatively comprehensive in its description of the arson problem. However, students often indicate that they would like to have more information on certain topics, e.g., the exact location of arson fires by type of arson, more about the kinds of persons who commit arson or specific types of arson. Two points could be made here:
  - The program developer must make a decision about whether the missing data

Notes and Comments

is essential or only in the realm of "good to know"; no Problem Statement will ever answer every question.

- If the program developer feels that the missing information is essential to the development of the program he should consider going back to the person who prepared the Problem Statement and point out the omission. Within reasonable limits the program developer should not try to work with inadequate information.

c. Completeness of Explanation.

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

Notes and Comments

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

o Typical and proper responses for secondary effects include:
- Decreased revenues to local government
- Local government costs to assist arson victims (unemployment compensation, shelter care, small business loan for repairs, emergency medical care)
- Lost jobs and wages
- Loss of housing and displacement of persons
- Property value and business activity reduction.

o Typical and proper responses for systems response include:
- Number of arsons detected
- Number of arson arrests, prosecutions, and convictions
- Level of training of persons involved in arson control (fire, police, prosecutors)
- Available facilities for arson control (investigative equipment, laboratory, information storage)
- Legal requirements affecting arson (information sharing, criminal penalties)
- Lack of centralized authority or coordination of different agencies
- Lack of standardized procedures.

o Note: Some of the concerns expresses in 1.2 Source and Nature of Concerns were not directly addressed in the Problem Statement, e.g., lack of recreational

Notes and Comments

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

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

d. Logic of Explanation.

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

Notes and Comments

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

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

e. Boundaries of the Problem.

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

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

o Encourage discussion.

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

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

Notes and Comments

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

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

Notes and Comments

f. Final debriefing points:

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

Module 3

DEVELOPING STRATEGIC GOALS

Notes and Comments

LECTURE NOTES

1. Review and Introduction.

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

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

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

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

Visual I-C from Module I

Notes and Comments

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

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

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

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

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

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

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

Notes and Comments

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

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

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

3. Types and Levels of Goals.

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

- Normative goals and
- Strategic goals.

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

Notes and Comments

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

c. As "ought" statements, normative goals can be made at a variety of levels:

- o Normative goals can be established for a single sector of criminal justice system or for the system as a whole.
- o Normative goals can be established for particular crimes in particular locations, or they can refer to all crimes everywhere.

d. Normative goals can emerge out of a variety of situations:

- o Normative goals may be established because they reflect the concerns of decision-makers and community leaders; (e.g., operating agency heads, supervisory boards, public officials, public opinion).

Notes and Comments

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

e. Normative goals are important in problem development because they define the level and boundaries of programs and the problems they address.

- Example: A normative goal that establishes "arson" as a problem that ought to be addressed will generate a different type of program than a normative goal focused on the problem of setting fires in city schools. Similarly, a state-wide arson program would set different boundaries on the problem than would a city program.

4. Strategic Goals.

a. The next level or order of goals are called strategic goals.

- Strategic goals are usually more specific than normative goals.
- Strategic goals represent concrete ideas about what can be accomplished in relation to a particular problem.

Notes and Comments

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

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

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

5. Strategic Goals and Objectives.

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

	Notes and Comments
stated in time-limited and measurable terms. • Goals state what is wanted whereas objectives state what will be accomplished to get to those goals. • Goals are stated in general terms whereas objectives are stated as specific measurable conditions. • Goals are not bound to a specific deadline whereas objectives are tied to specific activities and a schedule for completion.	
b. To summarize the relationship between the different levels of goals and the relationship between goals and objectives, we can state the following: • The <u>normative goal</u> is the highest level goal on which the rest of the structure is hung. They indicate what <u>ought</u> to be accomplished. • The <u>strategic goals</u> represent more specific and concrete statements of what <u>can</u> be accomplished in order to pursue the normative goal. • <u>Objectives</u> are even more detailed and specific statements of what <u>will</u> be accomplished. They are distinguished from goal statements in that they should	Visual III-A

Notes and Comments

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

6. The Purpose of Strategic Goals in Program Development.

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

   b. Strategic goals perform several functions:

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

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

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

Notes and Comments

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

7. The Strategic Goal Development Process.

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

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

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

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

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

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

Notes and Comments

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

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

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

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

Notes and Comments

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

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

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

Visual III-B

Notes and Comments

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

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

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

techniques of this type.

9. Desk Activity - Identifying Potential Strategic Goals From a Problem Statement.

   a. To illustrate how strategic goals can be identified from a Problem Statement, read the abstract of a problem statement on the problem of low conviction rates in your Student Guide.

      - Assume for purposes of this exercise that the facts in the Statement are all correct.

   b. First list all of the components of the problem on the lines below the Statement.

   c. Then examine the components and identify the two or three most important components of the problem. List these on the lines according to the printed instructions.

   d. We will discuss your findings after you have finished. Take 15 minutes to complete the activity.

      - Any questions? (Begin)

Notes and Comments

Notes and Comments

e. Debriefing points:

- o Have one participant read off his/her list of components.
- o Ask if there are any other components that should be included in the list.
- o Ask a second participant to indicate what he/she considers to be the most important components of the low conviction rate problem. Encourage discussion.
- o In the discussion or in a wrap-up of the activity emphasize the following points:
  1. Strategic goals should be developed to address the most important components of the problem as described in the Problem Statement.
  2. The most important components of a problem emerge only after the problem has been thoroughly digested and understood.
  3. Persons may not always agree on the most important components of a problem - particularly when several persons are involved in the decision. (This example was fairly straightforward).

End of desk activity

10. The Importance of Developing Integrated Strategic Goals.

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

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

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

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

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

Notes and Comments

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

	Notes and Comments
presumed causes, primary and secondary effects and system response components were identified.	
o It is sometimes recommended that the primary emphases in a program should be placed on those components of the problem about which the most is known.	
o However, since more is usually known about the way the system responds to a problem the tendency may be to focus too heavily on addressing those components of the problem and ignore components relating to presumed causes or secondary effects.	
o Question to the Participants: In your agencies what is the general policy-orientation toward most problems? Has there been any change, i.e., away from the CJS and more toward the presumed causes of problems?	Class discussion
d. Goals should be selected that, taken together, tend to enhance the effectiveness of other parts.	
o The differences between a program and a collection of projects is not that the projects are all supported under the same category, but that they work together in a particular way to effect a	

	Notes and Comments
common problem. • In recommending strategic goals to decision-makers, the program developer should be careful that the set of goals presented do not contradict or interfere with each other. • Example: A classic case of a program with contradictory goals is the program to put police officers in schools to reduce violence and vandalism. In some programs the police officers were asked to patrol the hallways; looking for drugs protecting teachers and property, breaking up fights; while at the same time they were also asked to provide advice and counseling to students and improve juvenile attitudes toward the police department.	
e. Discussion point: Is it better to select goals that deal with the causes, primary effects, secondary effects, or system response? When? Why?	10 minutes for discussion
11. Drafting Goal Statements.	
a. The format of a goal statement is: • An action verb (a) followed by • A statement of what is to be accomplished (b).	

Notes and Comments

b. Examples:

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

c. The characteristics of a good goal statement are:

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

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

- The statement should be positive in tone and convey a challenge to persons in the program.
- The statement should reflect a realistic

	Notes and Comments
sense of what can be accomplished.	
d. Examples: The following statements reflect varying levels of quality in goal statements. (Ask the participants to rate the quality of these statements on the basis of the criteria suggested above.)	
• To increase the level of housing security against burglaries.	Good
• To improve the employment opportunities of newly-released offenders.	Good
• To maintain basic levels of care and service throughout the juvenile justice system.	Mission Statement
• To provide for the successful rehabilitation of all persons in the correctional system.	Too ambitious
• To reduce the number of prosecution cases lost because of inadequate evidence.	Negative
• To reduce the increase in the current burglary/larceny rate by 15 percent during the next 5 years.	Confusing Where did the 15% come from? Really an objective?
• To reduce downtown crime by using team policing	Too restrictive
12. Preparing the Strategic Goal Decision Package.	
a. The selection of a set of potential strategic goals is a major decision point in the program development process.	Display Visual I-C from Module I
• Based on this decision the program	

Notes and Comments

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

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

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

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

Notes and Comments

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

e. The decision package should consist of the following items:

- The normative goal statement which the strategic goal addresses.
- Abstracts of the portions of the Problem Statement out of which the strategic goals were identified.
- A listing and a brief description of the major components of the problem drawn from the Problem Statement.
- The strategic goals statements.

f. An example of such a decision package is shown in your Guide.

- Take a few moments to examine the form. Are there any questions or comments about this form?

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

13. Summary and Review.

a. We have now taken the first step in the development of a program.

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

b. We also discussed the following topics:

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

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

Notes and Comments

Module III: Developing Strategic Goals
Segment B

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

Notes and Comments

LECTURE GUIDE

1. Introductory Statement.

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

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

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

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

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

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

The normative goal statement is given to students in the workshop

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

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

2. Note on Goal-Setting.

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

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

3. Note on Nominal Group Technique.

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

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

c. I will now asign you to your groups.

Notes and Comments

See Instructor's Note

INSTRUCTOR'S NOTE

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

Module III: Developing Strategic Goals
Segment B

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

Notes and Comments

FACILITATOR'S GUIDE

1. Preliminary Preparations.

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

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

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

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

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

Notes and Comments

2. Welcoming Statement.

a. Read the following opening statement:

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

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

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

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

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

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

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

You may want to write this on the flip chart.

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

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

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

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

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

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

"Are there any questions?"

Notes and Comments

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

See Note

3. Step 1.

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

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

FACILITATOR'S NOTE

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

Notes and Comments

4. Step 2.

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

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

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

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

See Note

5. Step 3.

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

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

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

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

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

FACILITATOR'S NOTE

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

	Notes and Comments
b. The leader should indicate the first idea and ask: "Are there any questions or comments about this item?"	See Note
6. Step 4.	
a. After every idea has been discussed and clarified to everyone's satisfaction the leader should indicate that a vote will be taken on the items. The facilitator should begin passing out the 3 x 5 cards and instruct the participants as follows: "Each of us should have "N" 3 x 5 cards in front of us. Carefully examine the list in front of the group and select the "N" components of the arson problem you consider to be the most important."	"N" should be about 40 percent of the total number of items up to a maximum of 9 items.
"In any order, write the number of the ideas you select on the cards, one number per card. Place the number in the upper left hand corner of the card. After you have placed a number on each card, go back and write the corresponding component on the card. You may take up to 10 minutes to make your selections and record them on the cards. Consider carefully before you make your selection."	Illustrate the recording of the item number by holding up a sample card.
"When you have completed your selection and have written the statements on the cards, please sit quietly and wait for the others to finish."	
b. When everyone has finished selecting and recording their items, the facilitator should instruct the group as follows: "Spread all of the cards out in front of you so that you can read each idea."	The selection of items should not begin until all questions have been answered.
"Study the cards carefully and select the components of the arson problem that you consider least important."	

FACTILITATOR'S NOTE

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

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

	Notes and Comments
"In the lower right hand corner of that card, write the number "1" and underline it three times."	Demonstrate the location of the number on a sample card.
"Place the card aside, face down and select the component you consider to be the least important of those remaining. Write "2" on that card."	Continue this process until all the cards have been ranked by number.

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

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

7. Step 5.

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

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

"Does anyone have any comments to make about Item #N?" — See Note

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

FACILITATOR'S NOTE

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

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

Notes and Comments

8. Step 6.

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

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

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

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

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

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

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

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

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

Notes and Comments

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

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

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

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

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

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

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

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

Notes and Comments

9. Drafting the Strategic Goal Statements.

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

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

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

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

Notes and Comments

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

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

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

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

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

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

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

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

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

Module III
Segment B Workshop on Nominal Group Technique

FACILITATOR'S GUIDE

Task Outline

- Opening Statement
- Distribute & Read NGT Question

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

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

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

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

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

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

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

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

- Step 7: Drafting the Strategic Goal Statements (10 minutes)
- Step 8: Preparing the Presentation and Decision Package (15 minutes)

LECTURE GUIDE (continued)

Notes and Comments

1. Introduction.

   a. We will now have each of the groups present the decision packages they developed in the Nominal Group Technique Workshop.

   b. Each group will have 15 minutes to present its goals, after which we will debrief on both the goals and the NGT, and then select a final set of goals which we will then work with for the remainder of the week.

2. Presentations.

3. Debriefing on the Goals.

   a. For the next several minutes I would like you to critique these goal statements in relation to the guidelines discussed earlier in the lecture.

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

   b. In critiquing each goal statement recall the criteria we discussed in the lecture:

      - Do they appear to be based on the data presented in the Problem Statement?
      - Do they reflect <u>important</u> components of the arson problem?
      - Do they address the normative goal?
      - Do they follow the format of a good goal statement?

Notes and Comments

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

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

Notes and Comments

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

c. Relationship of Strategic Goals to the Normative Goal.

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

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

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

Notes and Comments

5. Selecting a Set of Strategic Goals.

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

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

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

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

Notes and Comments

d. The instructor should lead the group to select a set of three/four goals from among the lists of goal statements presented to the group.
   - o Each group should have <u>at least one</u> of its goals selected in the final set.
   - o The selection should be made by consensus of the group.
   - o Encourage discussion if disagreements arise.
   - o The group should be encouraged to be explicit about the rationale for selecting a particular set of strategic goals.

6. Debriefing on the Nominal Group Technique.

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

   a. In this workshop we used the Nominal Group Technique to identify important components of the arson problem.
      - o The NGT could also be used to set priorities between problems or identify possible strategies.
   b. A detailed discussion of how the NGT is carried out, why it is carried out as it is and some of the issues relating to its use, is included in the text for this course.
   c. Now, are there any comments or questions relating to the NGT? (You should be familiar with the Background Material that follows for general support on NGT).

Notes and Comments

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

1. Background for NGT.

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

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

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

2. What is the Nominal Group Technique?

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

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

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

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

Notes and Comments

make the following decisions:

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

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

3. The NGT Process.

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

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

Notes and Comments

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

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

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

4. Preliminary Preparations for NGT.

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

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

b. Before the process begins, the group leader should make an opening statement.

- o The statement should include a warm welcome of the participants.
- o The statement should convey the importance of each member's participation in the process.
- o The statement should state the use and importance of the meeting's outcome.

Notes and Comments

See Note

5. Step 1: Silent Generation of Responses to the Question.

a. The first step in the NGT is to have the participants write their responses to the questions silently and independently.

INSTRUCTOR'S NOTE

Example of an Opening Statement:

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

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

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

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

Notes and Comments

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

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

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

6. Step 2: Recording of Responses.

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

Notes and Comments

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

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

7. <u>Step 3</u>: Discussing and Clarifying Responses.

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

Notes and Comments

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

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

c. The leader asks the group members to carefully examine the list of items and to select the 5 to 9 items they consider most important.

d. When the participants have selected their items, they should record them on the 3 x 5 cards by placing the number of the item in the upper left hand corner of a card (one item per card).

   - The leader should clarify that the participants should use the numbers on the chart and illustrate the step visually.

e. The participants should then write the phrase or statement on the card corresponding to the item number.

f. The leader should ask the participants to array the cards in front of them and, after studying them, select the response they consider <u>least important</u>.

g. The leader should then ask the participants to write the number 1 on the item in the lower right hand corner of the card and underline it three times.

h. The card is then turned over and the process is repeated for the response ranked next lowest among the remaining items (2).

   - The process is repeated until all cards have been rated. The last number is the same as the number of cards.

Notes and Comments

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

9. Step 5: Discussion of Preliminary Vote.

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

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

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

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

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

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

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

Notes and Comments

Notes and Comments

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

10. Step 6: Final Vote.

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

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

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

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

Notes and Comments

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

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

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

11. NGT for Groups Larger Than Nine Members.

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

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

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

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

Notes and Comments

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

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

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

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

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

12. Writing the NGT Question.

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

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

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

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

c. The question which comes closest to eliciting the kinds of responses desired should be selected.

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

Notes and Comments

13. Who Should be Selected to Participate in NGT.

a. The selection of persons in an NGT should reflect the question for which an answer is desired.

- o Persons selected should be able to understand and respond constructively to the question posed in NGT.
- o The persons should also have a "stake" in the outcome of the process.

b. Persons should be selected to reflect a variety of relevant viewpoints and areas of expertise.

- o NGT can be a powerful tool for bringing out several points of view and a great deal of information about a given topic.

Notes and Comments

Module 4

DEVELOPING THE LOGIC OF DIFFERENT PROGRAM STRATEGIES

Module IV
Developing the Logic of Different Strategies
Segment A

Notes and Comments

INSTRUCTOR GUIDE

1. Review and Introduction to Module IV.

   a. In this module we turn a major corner in the program development process. To this point, we have been concerned primarily with the problem.

   Visual I-C

   b. In Module II we developed an understanding of the problem by:

      - Breaking the problem down into its components and putting those components into categories.
      - Identifying relationships between components, and
      - Locating the problem in relation to other problems, i.e., setting priorities among problems.

   c. In Module III we began to use our understanding of the problem to:

      - Identify the most important components of the problem, and
      - Select a set of potential strategic goals that reflect the most important components of the problem.

Notes and Comments

d. In this module we will continue to use the understanding we developed earlier; but this time we will be looking for ways to address the problem.

   - We can refer to the analogy of a bridge. On one bank we have the problem. On the other bank are our goals. In this module we will start to design the bridge that will lead from the problem to the goals.

e. In this module we will discuss the following topics:

   - The role of the program developer in developing strategies
   - Collecting and assessing information on different courses of action
   - The importance of developing alternate or optional strategies
   - Defining what is meant by the term "strategy"
   - The two approaches to developing strategies--working from the problem statement and working from strategic goals
   - Assessing the logic of different strategies

Notes and Comments

- The importance of integrating strategies
- Developing the strategy selection decision package

2. The Role of the Program Developer in Developing Strategies

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

   b. The selection of a set of strategies is another important <u>decision point</u> in the program development process. Consequently, the final decision on a set of strategies may be made by someone other than the program developer.

      - Recall again the different roles the program developer could play in the process:
        - Full decision-maker
        - Staff member
        - Informed advocate

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

Notes and Comments

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

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

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

b. By information we mean facts about:

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

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

Notes and Comments

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

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

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

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

Notes and Comments

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

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

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

4. The Importance of Developing Alternate or Optional Strategies.

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

Notes and Comments

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

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

Notes and Comments

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

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

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

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

5. What Is a Strategy?

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

Notes and Comments

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

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

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

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

o An element might be a single project or a set of projects performing the same activity (e.g., providing shelter to juveniles).

o An element might also be a single activity performed only once (e.g., submitting a draft of a new law to the State legislature).

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

o We want to maintain a broad perspective at this stage to insure that a variety of possible strategies are considered.

o It is easier to evaluate the basic logic of a strategy at this level rather than becoming embroiled in the details of specific interventions or elements.

Notes and Comments

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

Notes and Comments

6. The Two Approaches to Developing Strategies

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

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

See note.

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

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

Instructor's Note

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

Notes and Comments

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

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

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

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

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

Notes and Comments

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

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

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

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

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

Notes and Comments

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

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

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

Notes and Comments

f. Debriefing: In the debriefing:

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

g. Explanation of Proposed Answers:

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

Notes and Comments

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

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

Notes and Comments

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

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

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

End of desk activity

Notes and Comments

8. Using the Strategic Goal to Identify Strategies

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

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

Notes and Comments

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

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

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

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

Notes and Comments

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

d. One way of identifying possible strategies inductively is to use a "brainstorming" technique involving persons who are knowledgeable about the problem or who have a clear stake in the program being developed.
   - The Nominal Group Techniques can be used at this step, just as it was used in the development of problem components.
   - The bibliography to the text of this module contains citations of articles that outline other techniques for this step.

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

	Notes and Comments
9. Walkthrough - Identifying Alternative Strategies Using the Strategic Goal.	(20 minutes)
a. Preparations:	
o Using a flip-chart or blackboard create two columns; one labeled "Potential Elements", the other headed, "Possible Strategies."	
b. The strategic goal we will use is the one relating to increasing the number of witnesses who appear in court to testify.	
o This goal was developed out of the same Problem Statement we discussed earlier.	
o Recall that the Problem Statement did not indicate any specific reasons for witnesses not testifying, but only suggested that it was probably due to practical inconvenience and a "poor attitude" toward the criminal justice system.	Participants may want to look back in Module III to review the Problem Statement. Show Visuals A,B,C,&D to review the previous steps leading up to this point.
c. In the previous discussion we noted that the program developer should avoid becoming too specific in developing strategies at this point in the process. However, it is obvious that it is very difficult to think about strategy in a general sense without having some very specific elements in mind.	

Notes and Comments

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

d. In this exercise we will use the tendency to think at the specific level, but in a way that will help us develop general approaches to the problem.
   - Take a few moments to think about the witness problem and begin listing ideas on how to meet this strategic goal.
   - Be as specific as necessary.
   - Allow the participants to think about the problem for one minute.

e. Begin listing the ideas of the participants under the "Potential Elements" heading on the flip-chart or blackboard.
   - Try to take suggestions from as many participants as possible.
   - When you have recorded from between 10 and 15 suggestions, or when the participants have suggested elements that could be fitted under 2 or 3 different strategies, stop the process.

Notes and Comments

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

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

g. Examples of possible and acceptable answers would be:

- Potential elements

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

Notes and Comments

G. Require employers to provide time off for witnesses who testify

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

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

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

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

10. Assessing the Logic of Strategies.

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

    b. The purpose of this assessment is:

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

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

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

Notes and Comments

End of desk activity

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

Notes and Comments

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

d. The program developer should adopt a critical and analytic attitude toward the logic behind the strategies he or she developed in the previous step.
   - Specifically, the program developer should lay out and critically assess each of the assumptions stated or implied in any strategy logic.
   - The rationale should include the strategic goal the strategy is intended to meet or contribute to, and the normative goal the program as a whole is attempting to achieve.

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

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

Notes and Comments

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

Notes and Comments

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

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

Notes and Comments

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

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

11. Walkthrough - Assessing the Logic of Strategies

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

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

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

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

	Notes and Comments
• To improve the convenience of testifying to witnesses; • To increase the public's awareness and understanding of the importance of testifying when called. c. We will work through the rationale for the first strategy, "Imposing penalties on witnesses who fail to testify." d. The logic behind this strategy is: • Some witnesses do not show up to testify because there is no penalty for not testifying; • If a penalty is attached to not testifying, some people will be afraid of the penalty and will show up when called; (Strategic goal) • If people show up when called, they will give their evidence in court; and, • The evidence they give will result in more convictions (Normative goal).	This logic is shown in the Participant's Guide
e. The first assumption is that some persons do not testify because there is no penalty involved in not testifying. • Is this a reasonable assumption? The answer is probably, "yes." The lack of a penalty may not be the only reason why	Class discussions of these points would be useful if time permits.

Notes and Comments

people do not testify but for some people it may be the deciding factor.

f. The second assumption is that if a penalty is attached to not testifying, more people will show up when called.

- Is this a reasonable assumption? The answer here is not simple. First, the people who would be most affected by attaching a penalty to not testifying are those persons who would not testify otherwise. That is, persons who would testify in any circumstances would not care if there were a penalty or not.
- Second, in order for the penalty to be effective, people would have to know about the penalty and, more important, would have to know that the penalty will be enforced. That is, the penalty would have to be credible to the person.
- Third, the penalty would have to be strong enough for a person to see that it would be better for them to testify than not to testify. That is, the disadvantage would have to be greater than the advantage of not testifying. For example if a person would lose $200 a day in

Note that this point may end up as an element in the strategy - a P.R. campaign of some kind.

Notes and Comments

salary by going to court and testifying and the penalty for not testifying was a $100 fine, most persons in that situation would probably prefer to pay the fine.

- o As a purely logical assumption--and assuming all of the above conditions can be met--it is reasonable to accept this assumption at this point.

g. The third assumption is that if people show up when called, they will testify and give their evidence.

- o Is this a reasonable assumption? On its face it would appear that this assumption is valid. However, if a person is coerced into testifying because he or she is afraid of being penalized, how good a witness is that person likely to be? To be sure, a prosecutor can force a witness to give evidence on the stand, but there is a question whether such a witness would be a plus or a minus for the prosecution's case.

h. The fourth assumption is that if more persons testify, the prosecution will obtain more convictions.

- o Is this a reasonable assumption? The answer could be either yes or no.

Notes and Comments

The premise is that the additional testimony will help the prosecution's case more than it will the defendant's case. This may or may not be true. Moreover, if penalties are assessed for not testifying, the effect would be as beneficial to defense attorneys who have difficulty getting witnesses to court as it would be for prosecutors. Thus, even though the strategy would probably bring additional witnesses to court--and thus meet the strategic goal--it is not entirely clear that this would necessarily result in more convictions, the purpose of the program overall.

i. The purpose of this assessment is not to eliminate a strategy, but to highlight the inherent strengths and weaknesses of the strategy. In this example, we identified certain weaknesses and limitations in the logic of the strategy and, for that matter, in the strategic goal itself.

   - o The completed rationale lays out all of the assumptions about this strategy.
   - o If we later decide to implement this strategy, we will have already identified certain features of the program that would have to be included (e.g., being

This more complete rationale is also in the Participant's Guide.

Notes and Comments

certain that the penalties are advertised to witnesses; making certain the penalties are credible).

12. Desk Activity - Assessing the Logic of Strategies

a. In this desk activity the participants will be given a chance to assess the logic of a second strategy under the "witness" strategic goal. The strategy to be assessed is the one relating to "Providing additional conveniences to witnesses."

Refer to your flip-chart list of strategies.

b. The activity will be carried out in three steps:

- Step 1. The participants will identify the assumptions behind the strategy.
- Step 2. The participants will assess the logic of the strategy by testing the reasonableness of each of the assumptions.
- Step 3. A rationale of the strategy will be developed, based on the testing of the assumptions.

c. Step 1. Have the participants work independently at their seats for 10 minutes, identifying the assumptions behind the strategy of providing conveniences to witnesses.

Refer them to the worksheets in their Participant Guides

Notes and Comments

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

d. After ten minutes have elapsed, ask the participants to stop, and have one of the participants volunteer to present his work to the group.

- The participant should present the assumptions by writing them on the flipchart or blackboard, and explaining each.
- After the presentation, ask the participant to sit down and ask the group to offer suggestions on where the assumptions could be revised or expanded.
- Allow about ten minutes for this discussion.

Notes and Comments

e. Step 2. Encourage a discussion of the reasonableness of the assumptions, using the questions discussed in the lecture and listed on the second page of the worksheets in the Student Guide for this Desk Activity.

- Record any suggestions as to the strengths and weaknesses of the assumptions in the strategy logic on a flip-chart.
- Allow the discussion to last for no more than 20 minutes.

f. In the discussion, reinforce and emphasize the following point:

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

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

- The participants should refer back to the completed rationale developed in the

Notes and Comments

walkthrough as a guide to its format and contents.

- Allow about ten minutes for this step.

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

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

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

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

Notes and Comments

j. Discussion points for the Analysis of Assumptions.

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

Notes and Comments

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

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

Notes and Comments

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

13. The Importance of Integrating Strategies.

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

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

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

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

Notes and Comments

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

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

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

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

Notes and Comments

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

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

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

14. Preparing the Alternative Strategy Decision Package.

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

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

Notes and Comments

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

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

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

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

Notes and Comments

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

e. An example of the different parts of the decision package is in your Student Guide
   - In the exercise that follows the final product will be a presentation following the format of this decision package.

15. Summary and Review.

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

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

Notes and Comments

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

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

Notes and Comments

Module IV

Developing the Logic of Different Strategies

Segment B: Workshop on Developing and Assessing Strategies - Introduction

LECTURE GUIDE

1. Introduction to the Workshop.

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

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

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

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

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

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

Notes and Comments

2. Note on Strategy Development

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

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

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

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

3. Assignment of Strategic Goals to the Groups.

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

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

4. You may now leave for your breakout areas.

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

Notes and Comments

Module IV
Developing the Logic of Different Strategies

Segment B: Workshop on Developing and Assessing Strategies

FACILITATORS GUIDE

1. Preliminary Preparations.

   a. Each member of the group should have:

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

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

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

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

Notes and Comments

2. Workshop Purpose and Process.

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

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

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

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

Notes and Comments

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

- The total time allowed for these six steps is 3 hours and 30 minutes.

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

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

Notes and Comments

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

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

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

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

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

Notes and Comments

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

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

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

   b. Give the participants a few moments to examine the potential elements and possible strategies, and then begin soliciting suggestions for additional elements.
      - Additional elements should be listed under the appropriate column.
      - If the same work area is used, indicate which strategies and elements were developed under each approach by drawing a line between the two groups.

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

Notes and Comments

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

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

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

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

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

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

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

Notes and Comments

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

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

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

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

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

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

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

Notes and Comments

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

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

8. Preparing the Presentation. (30 minutes)

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

b. The contents of the decision package are:

- The normative goal statement
- The strategic goal statement
- The relevant portions of the Problem Statement
- The important components of the problem derived from the Problem Statement
- A listing of potential elements under each strategy

Notes and Comments

- A set of strategy rationales
- An assessment of the strengths and weaknesses of each strategy.

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

d. The presentation should follow the order described below:

(1) The normative goal should be briefly restated

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

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

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

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

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

Notes and Comments

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

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

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

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

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

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

See Facilitator's Note

Facilitator's Note

The Facilitator should make <u>two</u> additional copies of the:

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

Notes and Comments

Module IV

Developing the Logic of Different Strategies

Segment B: Workshop on Developing and Assessing Strategies - Debriefing

LECTURE GUIDE

1. Presentation by the groups (45-50 minutes)

   a. After the small groups have returned to the main lecture area, each should make its presentation to the main group.

      o Each group is allowed 15 minutes for its presentation of both strategies.

   b. The participants should be encouraged to take notes on each presentation to facilitate the subsequent selection and integration of strategies.

      o The participants should pay particular attention to possible conflicts, incompatibilities, or areas of overlap among the strategies.

2. Selection of a Set of Integrated Strategies (30 minutes)

   a. After the last presentation has been given, the participants should discuss the strategies as a whole with particular attention to:

Notes and Comments

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

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

3. Examples of Possible and Acceptable Products.

a. Step 1: Identifying Strategies Using the Problem Statement.

- For purposes of this example the strategic goal will be: <u>To reduce the number of arson fires set by juveniles</u>.
- <u>Relevent problem components</u> under this strategic goal would be:
  - Disposition of juvenile arson cases by the police (p.12)
  - Disposition of juvenile arson cases by the courts (pp. 12&13)

Notes and Comments

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

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

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

Notes and Comments

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

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

- The answers derived in this step may vary with the imagination and experience of the group. Possible innovative elements might include:
  - Educating parents on the dangers and realities of juvenile arson (I)
  - Co-opt juvenile gangs by recruiting them into arson-prevention groups (J)
  - Educating parents and teachers to identify behavioral or psychological problems that might lead to fire-setting (K)
  - Establish arson-counseling programs for juveniles caught for arson (L)
  - Encourage police and courts to divert juveniles arrested for arson to mental health programs (M)

Notes and Comments

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

o Possible strategies identified from these elements might include:

- Remove potential targets or opportunities of juvenile arson (N)
- Provide greater community and institutional awareness of juvenile arson (I,K)

o The remaining elements would tend to fall under one or another of the strategies developed earlier.

c. Step 3: Identifying the Assumptions in the Strategies.

o For purposes of this example we will assess the strategy: Educate juveniles on arson prevention and the consequences of arson.

o The assumptions of this strategy are:

(1) Juveniles engage in arson because they are ignorant of the consequences of arson and are not familiar with arson prevention.

(2) If juveniles were informed about arson they would not set fires. (Strategic Goal)

Notes and Comments

(3) If juveniled do not set fires the number of arsons will decrease (Normative Goal)

d. Step 4: Assessing the Strategies.

- Assumption 1: Juveniles engage in arson because they are ignorant of the consequences of arson and of arson prevention. (Is this assumption reasonable?)
  - The Problem Statement indicates that ignorance of the consequences of their actions is associated with vandalism arson. Thus, there is evidence supporting this assumption.
  - There is no evidence in the Problem Statement that knowledge of arson prevention is a factor in the incidence of juvenile arson, although this knowledge per se may affect behavior and attitudes. One might look to the existing literature on arson for back up on this one.
- Assumption 2: If juveniles are informed about arson they will not set arson fires.
  - While the Problem Statement states that an association exists between knowledge of consequences and fire-setting behavior it does not suggest that this ignorance causes the behavior. However, it could be reasoned that if juveniles know about the consequences

Notes and Comments

of arson they might be deterred from setting fires

- There are several limitations associated with this assumption. Some, but not all juveniles will be deterred by knowledge of the consequences of arson; merely informing juveniles is not enough--they must understand, accept, internalize, and remember the information; the information must be given to juveniles who would otherwise engage in fire-setting behavior.

o Assumption 3: If juveniles do not set fires the number of arson fires will decline.

- This assumption is self-evidently true. Moreover, because juveniles make up the largest number of known arsonists any significant decline in juvenile arson would alaso have a significant impact on the overall arson problem.

d. Step 5: Preparing the Strategy Rationale.

o The sequence below depicts the logic of the strategy.

- Juveniles engage in arson because they are ignorant of the consequences of these activities.

↓ ↓

- Juveniles who could otherwise set fires are informed about the consequences of arson.

↓ ↓

- Juveniles understand the information provided.

↓ ↓

Notes and Comments

↓ ↓

- Juveniles accept the information provided.

↓ ↓

- Juveniles internalize and remember the information provided.

↓ ↓

- Juveniles (some) are deterred from setting fires. (Strategic Goal)

↓ ↓

- The overall number of arson fires will decline. (Normative Goal)

4. Debriefing. (Not more than 10 minutes)

   a. In the debriefing, the following points should be made:

      - Possible strategies are developed out of an understanding of the problem derived from the Problem Statement and from a creative consideration of possibilities suggested by the strategic goal
      - The value of a strategy lies in the strength of its logic and the best way to assure that a strategy is worth pursuing is to focus on the relative validity of the assumptions implied in the strategy itself
      - The program developer needs to develop a critical and analytic attitude toward the strategies he/she developes or proposes

Notes and Comments

- Weaknesses identified in the logic of a strategy do not necessarily eliminate the strategy from further consideration--but identify certain areas of the strategy that will require particular attention when they are further developed (cross reference to debriefing of desk activities). (This point relates to the notion of key events introduced in module VI).

Module 5

PLANNING THE PROGRAM STRATEGIES

Module V
Planning the Details of Program Strategies
Segment A

Notes and Comments

INSTRUCTORS NOTES

1. Review and Introduction.

   a. In Module I we indicated the three reasons why programs fail:

      - The problem was not understood
      - The solution to the problem was inappropriate, or
      - The solution was implemented incorrectly.

Visual I-C

   b. In Module II we attempted to remedy the first potential problem by conducting a detailed examination of the problem through an assessment of the Problem Statement.

   c. In Modules III and IV we attempted to remedy the second potential problem by first, identifying the most important components of the problem toward which the strategic goals of the program should be aimed; and second, by developing and carefully assessing logical strategies for meeting those goals.

   d. In this module we will begin to address the third potential problem - the problem of <u>implementation</u>.

   e. In this module we will consider all of the practical problems relating to implementing a program in the real world - problems such as:

      - Resources
      - Scheduling
      - Budgets

Notes and Comments

- Procedures, and
- Political support

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

- The role of the program developer in planning the details of strategies
- Developing and assessing the elements of a strategy
- Planning the details of the elements of a strategy
- Identifying and assessing the impact of the program on the existing system
- Identifying and assessing the internal impact of program elements on each other
- Scheduling and networking the program elements
- Developing objectives
- Developing program resources and budgets, and
- Preparing the full decision package

g. In this segment of the module we will cover the first three topics - through the design of the details of elements.

- This will be followed by a major workshop related to these topics

h. In the following lecture segment we will complete the discussion of the five final topics - through the preparation of the full decision package.

- This lecture will be followed by a second major workshop.

2. The Role of the Program Developer in Planning the Details of Strategies.

   a. The design and approval of the program's implementation plan is the next major decision point in the program development process. As in previous modules the course takes the perspective that the program developer may be required to present his or her work to a higher authority for approval. Consequently, the final product of this module is yet another decision package for possible review.

      - As before, the decision package will be made up of materials developed previously as well as new materials which expand on or elaborate the previous work.

   b. In this module, however, the materials developed for the decision package have a second function. These materials will also be used by persons who will actually carry out the program as the implementation plan.

      - The materials in the decision package will necessarily be less specific than the materials to be used by the actual implementors.

   c. In addition, the materials developed in this module will form the basis for one additional step in the program development process - the development of the program's evaluation and management plan.

      - This topic will be covered in the next and concluding module.

Notes and Comments

As discribed earlier, this Decision Package is an interim one. It may be revised after Module VI.

Notes and Comments

d. Before discussing the planning of the details of strategies, there is an additional topic to be clarified - the level of detail to be developed in the implementation plan.

   - o In previous modules we have deliberately attempted to remain at a high level of abstraction when developing the strategic goals and the strategies.
   - o In this module we will be moving down to a relatively low level of detail - down to the level of specific activities within program elements.

e. In this course we assume that the program developer should be able to design a program down to this level of detail even though he or she may never be able to do so on the job.

   - o Larger planning agencies may leave much of the design of programs to the persons who will actually implement the activities. However, the ideas and guidelines in this module are needed to <u>assess</u> the design work done by others.
   - o Smaller planning agencies may be asked to design the entire program even below the level of detail described here.

f. As a general rule, program developers should be prepared to develop the details of the program down to a level where they are <u>confident that the goals and strategies of the program can and will be successfully implemented</u>.

Notes and Comments

3. Developing and Assessing the Elements of a Strategy

a. In the previous step in the program development process we identified several potential elements to implement each strategy.

- Review: An element is a specific activity or set of activities intended to carry out a particular strategy. An element could be a project or a set of projects performing the same function. An element could also be a single activity carried out only once.
- Example: A strategy to increase the level of experience of prosecutors in an agency might consist of elements such as:
  - hiring older and more experienced attorneys as prosecutors
  - rewarding existing staff in some way to encourage them to remain in the agency
  - using more experienced prosecutors to provide on-the-job training to newer prosecutors.

b. In the previous step, we identified potential elements as a way of developing a range of possible strategies.

- We were not intent on identifying all potential elements under a particular strategy - only those elements which might suggest some additional overall approach to meeting the strategic goal.

c. At this point we assume that a set of strategies has been selected (by the program developer

Notes and Comments

or by some other decision-maker). Our task now is to expand the list of potential elements under the strategies that have been selected.

- o It is important that the program developer has a range of potential elements to choose from, just as it was important to have a range of possible strategies.
- o The broader the range of options available to the program developer the more likely he or she is to find the elements that will best fit the particular circumstances and opportunities in the jurisdiction.
- o The broader the range of options considered by the program developer, the easier it will be to define the choices made to decision-makers.
- o The broader the range of options, the easier it will be for the program developer to develop "fall-back" positions should one element encounter opposition or prove ineffective.

d. The technique to be used to expand the list of potential elements is essentially the same technique used to identify strategies.

- o The program developer should review the Problem Statement to determine whether certain elements are suggested or implied.
- o The program developer should collect and assess information from other sources; par-

Instructor Note

When identifying additional alternative elements, remind the participants to look back to the assessment of the strengths and weaknesses of the strategy developed in Module IV. As we emphasized in that earlier discussion, the areas of weakness in the strategy may need to be "shored-up" or given particular attention in designing the program. As we indicated, this may include designing a specific element to overcome a particular weakness. For example, if the assessment showed that it was questionable whether the public was really interested in reducing the availablility of handguns, one logical element to be included under the strategy would be a public education campaign.

Notes and Comments

ticularly local sources such as persons in agencies who might be involved in implementing one or more elements of the strategies.

- The program developer could conduct a Nominal Group Technique with knowledgeable decision-makers, experts or other persons with a stake in the process.

e. The purpose of this search for additional elements is to develop a broad range of options from which to choose those elements that best meet the programs' needs, opportunities, and limitations.

- We will now turn to a consideration of how the program developer should go about assessing the relative value of the different elements he or she has developed.

4. Criteria for Assessing Strategic Elements

a. Once it is clear that a set of potential elements are available for each general strategy, the program developer has sufficient information to make more fine-grained assessment of those elements.

b. The program developer wants to determine which elements are likely to work best, given what is known about the conditions of the jurisdiction, the political structure, what seems to have been done elsewhere, and the knowledge and expertise of professionals.

c. Each element can be assessed against five criteria.

Notes and Comments

- Effectiveness
- Practicality
- Acceptability
- Evaluability
- Cost

d. The information needed to apply these criteria can come from a variety of sources.

- Data and information in the problem statement
- Your own professional judgment and experience
- Information obtained from reviewing research and evaluation studies, and reports of efforts undertaken elsewhere
- The knowledge and expertise gleaned from other professionals
- Knowledge of the local situation -- the political structure, voting records, prevailing public attitudes.

e. Effectiveness asks "how well will it work?"

- This criterion is first among all criteria -- if something does not work it makes little difference how it ranks on other criteria.
- This criterion is concerned with predicting how each element will contribute to attaining the strategic goal.
- Good sources of information for rating elements on this criterion are evaluations of similar efforts done elsewhere or detailed reports of other program operations.

Notes and Comments

- Example: If evaluation studies show, for example, that providing transportation services to witnesses generally result in positive effects on witness cooperation, the element would be rated high on this criterion.
- A second source of information is the Problem Statement -- particularly hard data on the relative impact of different components of a problem.
- Example: If the Problem Statement indicates that 30 percent of the witnesses who fail to show up to testify did so because they lacked transportation to the courthouse, the program developer could infer that providing transportation might improve the "no-show" rate by up to 30 percent.
- Information in the problem statement can also be used to compare elements on the effectiveness criteria.
- Example: If the Problem Statement indicates that 30 percent of the "no-shows" were prevented from testifying because of transportation problems, and 45 percent were hindered by employers who did not want to allow the witnesses time off from work, the program developer could infer that -- given a choice between the two elements -- an element dealing with employers' objections might be more

Notes and Comments

effective than one dealing with transportation problems.

f. Practicability asks "can it be done -- and how easily?"

- o There are several dimensions to this criterion
  - Are the resources for one element already available, or are they more available than for another element?
  - Is the element legal?
  - Has there been any practical experience with this particular element -- has there been any prior experience with it in the jurisdiction or elsewhere?
- o This criterion implies a "common sense" factor of what can or cannot be done.
- o Often, ratings on this criterion are based on the program developers' own experience and knowledge about the jurisdiction.
- o Practicability will vary by jurisdiction or local circumstances. Providing transportation to witnesses may be practical in a large city where persons live relatively close together and transportation resources are usually available already (e.g., public transit, taxi cabs, etc.). However, in a small town or a sparsely settled rural area the element might require developing transportation resources "from scratch."

Notes and Comments

g. Acceptability asks, "is the element agreeable to the public and political powers?"

- Rating on this criterion depends upon the prevailing public attitudes and political priorities.
  - these are never precise
  - these shift from time to time
- Information for rating on this dimension comes from the program developers' sensitivity to political facts, their knowledge of the power structure and awareness of what's going on in the jurisdiction.
- Example: If, for example, there was strong opposition from taxpayers for spending public money on transporting people who have a civic obligation to testify in court, then "providing transportation" would get a lower rating on this criterion.

h. Evaluability asks, "can the contribution of the proposed element to results or outcomes be found?"

- In theory any element could be evaluated if enough time, money, and effort is devoted to it. The focus here is on the relative evaluability of the element.
- This criterion focuses on the relative ability to monitor and evaluate elements in terms of their performance.
- An element is evaluable if objective indicators and measures can be identified.

Notes and Comments

- o Example: The number of court cases thrown out because of lack of witnesses (indicator) as determined by the number of "no-shows" who stated they did not go to court because of no transportation (the measure).
- o Information for rating on this criterion could come from evaluations of similar or related programs elsewhere, knowledge of research, measurement and evaluation, and from evaluation staff.
- o In the next module we will focus more closely on the evaluation of programs. However, consideration of evaluation issues should begin early in the design of the program.

i. Cost asks, "how expensive is it?"

- o The application of this criterion at this stage is to estimate the relative costs of the different elements.
- o Some elements will be inherently more costly than others. However, the program developer should consider long-term and short-term costs when assessing elements on this criteria.
- o Example: It might cost more money in the short-run to remodel the courthouse to make witnesses more comfortable than to set up a transportation reimbursement element to get witnesses to the courthouse. However, the latter element would be a long-term expense

Notes and Comments

whereas the remodeling would be a one-time-only cost.

- Other more complex and sophisticated cost-benefit and cost-effectiveness analyses techniques could be used to assess elements under this criterion. These techniques require detailed information about specific resources to be applied and specific projections of each element's expected performance. They may not be appropriate at the stage of program development we are discussing here.

5. Applying the Criteria for Assessing Strategic Elements

   a. Applying the criteria discussed here to specific elements would, of course, depend heavily on two factors:

      - The amount and quality of information available to the program developer related to each of the criteria.
      - Local conditions and circumstances relating to the criteria.

   b. Obviously, if the program developer does not have information related to the criteria, any assessment would be largely a matter of subjective preferences or professional insight.

   c. Equally obvious, local conditions will determine how much weight will be assigned to each criterion.

      - In a jursidiction already short on money, "cost" would be weighted much higher than any other criteria.

Notes and Comments

- o In a highly politicized jurisdiction, "acceptability" might be the most important criterion for an element.

d. The specific method used to apply the criteria could also vary.

- o Each element could be rated separately on each criteria to produce an overall score or some qualitative summary rating.
- o All elements could be ranked on each criteria so that element "A" is ranked first among all elements on effectiveness, fourth on practicability, second on acceptability, etc.

e. Any meaningful rating system would have to be based on information available only if you studied the problem area or were already a substantive expert in it.

- o We cannot provide the detailed information in a training course to permit "real" ratings of alternatives against criteria.
- o Any number of quantitative scaling techniques could be used to rate different options.

f. Question to the Participants: Ask the participants to describe how they might apply the criteria just discussed in their jurisdictions. Which of the criteria would be the most important?

Class discussion

6. Developing the Detail of Program Elements

a. Once the set of elements under each strategy has been assessed and those that appear to be the most effective, feasible, practical, etc., have been identified, the next step in the program

development process is to work out the details of those elements.

- o We are now ready to specify the activities that must be undertaken in order to implement the elements, and
- o To specify the resources and people who will perform the actions.

b. The technique we will use to develop and organize the details of the elements is called the Method of Rationales (MOR).

- o The MOR is a device which breaks down and categorizes the different parts of a program, project or activity in such a way that they can be assessed or analyzed.
- o The MOR is a flexible device which can also be used to evaluate, monitor or manage a program project or activity.
- o Some of you may already be familiar with the MOR as it was taught in the Evaluation Course.
- o In this course we will be using the MOR as a tool to help design the elements of a program, rather than as a tool to evaluate a program that is already underway.
- o Because we are using the MOR in a different way in this course, some of the terms that may appear familiar to some of you may be treated in a slightly different way.

c. The MOR divides the parts of a program element into four categories.

Notes and Comments

See Instructor's Note

Instructor's Note

We are advocating the Method of Rationales (MOR) as the means for describing how each element we selected might be implemented. Because some of the participants may have gone through the Evaluation or Monitoring Courses, you should mention that the MOR is used in those courses. Some background on the MOR may be useful.

For evaluators, the MOR is used to distinguish what projects are and what they are expected to achieve. By applying the MOR an evaluator can bare the logic of a project and describe the cause-effect linkages, often implied by the project but rarely made clear. Very frequently, criminal justice projects are meticulous in stating objectives and goals (sometimes even measurable ones) but how they are to be achieved is not described or ambiguous. That is, the reasons why the project should be effective are unclear. With the MOR, evaluators can "reconstruct" the project's rationale and ferret out the important cause-effect linkages to evaluate.

The reason the MOR is taught in this course is simple: The underlying reasons for how and why elements are expected to lead to strategic goals should be systematically planned and justified while the program is being developed. The MOR is a convenient way for doing this. If this were done more often during program development there would be less need for evaluators to have to concern themselves with the MOR.

Notes and Comments

Visual V-A

- The categories are called: inputs, activities, results, and outcomes.
- The categories are presumed to be causally linked
  - inputs are presumed to "cause" activities,
  - activities are presumed to "produce" results
  - results are presumed to "contribute" to the attainment of desired outcomes

d. The first category: Inputs are the people and things required to make the element work.

- Some inputs will already exist and can be "used" as is (e.g., police cars, facilities, trained counselors).
- Other inputs will exist but have to be modified or restructured for implementing a strategy.
- Still other inputs are "New" and will have to be acquired.
- Examples of inputs

  Personnel:

  - Police officers, correctional staff, court administrators, laboratory assistants, data technicians, etc.

  Facilities:

  - Jails, half-way houses, prisons, police facilities, court rooms, laboratories, data analysis center, etc.

  Equipment and Hardware:

  - Computers, data bases, patrol cars, riot

Notes and Comments

gear, administrative records, communication equipment, reference documents, procedure manuals.

e. The second category: Activities are the operations and processes of the element.

- o Activities are the things that the inputs make happen.
- o Examples of activities
  - policemen patrolling streets
  - counselors counseling inmates
  - volunteers babysitting for witnesses
  - evaluators compiling statistics and records
  - staff specialists interviewing employers
  - radio stations broadcasting good citizenship messages
- o Activities range from simple to complex
  - some are "caused" by a single input (e.g., a police car patrolling a street).
  - some are "caused" by interaction of several inputs

f. The third category: Results are the short-term effects of the activities.

- o Results represent positive accomplishments. They are the "ends" of the activity:

Notes and Comments

- Examples:
  - the number of work releases placed on jobs
  - the response time to answer an emergency call
  - the number of witnesses taken to court
  - the number of personnel records completed by a department
  - the number of drug addicts completing a counseling program
- When results are expressed in quantified and time-bound terms, they are called objectives.

f. The fourth category: Outcomes is the desired longer-range effects of the program.

- Outcomes are what should happen if the underlying logic of a strategy is sound and it is implemented as planned.
  - the right mix of inputs produce the right kind of activities, which produce the expected results, which leads to the desired outcome.
- Outcomes can be thought of as the equivalent to the strategic goals of a program, but the meaning can vary in other contexts.

In the evaluation course, outcomes are equated with long-range normative type goals ("reduce crime")

g. The MOR provides a conceptual framework for describing and explaining to others what the element is and what is needed to implement it, and what its expected results and outcomes are.

7. Applying the MOR to the Design of an Element: Identifying Activities

Notes and Comments

a. The first step in applying the MOR to the design of an element is to specify the activities that would have to be carried out in order to implement the element.

   o For the moment try to ignore who would carry out the activity and focus on the tasks that would have to be completed.

b. In specifying activities it is useful to maintain a distinction between those activities that would be carried out in order to get the element "up and running" and those activities that would be carried out on a regular basis after the element is in place.

   o In general, it is easier to think about the on-going activities first. The on-going activities -- once they are all identified -- will tend to suggest the inputs and activities that would be necessary to get the element started.

   o Example: If we are implementing a child care element for witnesses with young children, we might see that the care would consist of providing meals, providing play and recreation, providing emergency medical care, etc. Once these activities have been specified we would then know that to make these activities available we would need to hire someone to prepare meals, supervise play, etc.

c. Several methods could be used to identify the activities necessary to implement a particular element.

Notes and Comments

- Persons who have actually carried out a similar element could be consulted for advice.
- Persons with experience in similar efforts or with a stake in the element (e.g., potential implementors or potential clients) could be gathered to "brainstorm" about the element or go through a formal decision-making exercise (such as the NGT or Delphi).

8. Applying the MOR to the Design of an Element: Identifying Inputs

   a. Once all of the activities necessary to implement an element have been specified, the next step is to identify the inputs that would be needed to carry out each of those activities.

      - Inputs can be divided into two broad classes: people and things. In this step the program developer should be concerned about <u>who</u> will carry out the activities and what <u>resources</u> those people will need.

   b. While identifying who will implement the activities the program developer may be able to identify specific persons, agencies or organizations, or the "who" may remain an open category to be filled by any number of qualified individuals or groups.

   c. While identifying the resources needed to implement an activity, the program developer should keep in mind any existing resources that could be used or adopted for the program.

Notes and Comments

d. Example: One activity to implement the child care element is to inform qualified witnesses that the service is available. What inputs would be needed to support this activity? On the resource side would be such items as a list of qualified witnesses, some means of contacting the witnesses (telephone, form letters, postage), press releases (to inform the general public about the service), office space (to house the person who will do the task), etc. On the "who" side several options are open. The "who" could be someone in the police department, the prosecutor's office, the public defender's office, the court administrative office, or someone completely outside the CJS (e.g., volunteers).

e. The program developer should attempt to identify as many specific inputs needed to support each activity as possible.

- If there are several options open to the program developer in terms of persons or resources the program developer should again apply the five criteria in order to select the set of inputs that best fit his or her needs, resources and limitations.

9. Walkthrough - Applying the MOR to the Design of an Element: Identifying Activities and Inputs. (30 minutes)

a. In this desk activity the participants will be given a chance to practice identifying the inputs

Notes and Comments

and activities needed to implement an element of a strategy.

b. The desk activity will be carried out as a walk-through with the participants providing the responses and the instructor serving as a recorder and facilitator.

c. Across the top of the blackboard or flip-chart write the normative goal, the strategic goal, the strategy, and the element statements.

- Normative Goal: To increase the conviction rate in the jurisdiction
- Strategic Goal: To increase the number of witnesses who appear in court
- Strategy: Make testifying in court more convenient to witnesses
- Element: Provide free transportation to and from the courthouse to all witnesses

d. Divide the blackboard or flip-chart into two columns labeled "Inputs" and "Activities" respectively.

e. Ask for volunteers to suggest activities that would have to be carried out to implement the element.

- List these activities under the appropriate column.
- Remind the participants again of the distinction between "start-up" activities and activities to be carried out day-by-day.

f. After approximately 10 minutes, or when the page or area under the activities heading has been filled up, ask the participants to shift their

Notes and Comments

focus from the activities to the inputs that would be needed to carry them out.

- o Indicate to the participants that the process of identifying activities could continue for a very long period.
- o Also remind the participants that they are working on only one element under a particular strategy and that this process would be repeated several times for many other elements under this and other strategies.

g. List the inputs needed to implement each activity under the appropriate column.

- o Remind the participants of the distinction between human inputs and material or resource inputs.
- o Allow the participants to continue for about 10 minutes.

h. Acceptable and Desireable Products: The following are possible answers to the walkthrough.

- o Activities (On-going)
  - Informing witnesses of the service
  - Scheduling pick up time
  - Taking witnesses to and from the courthouse
  - Coordinating witness and courtroom schedules
  - Verifying mileage of witnesses who use own car or public transportation
  - Compensating witnesses for travel expenses
  - Maintaining records of payments
  - Upkeep on vehicles
- o Activities (Start up)
  - Develop system for informing witnesses
  - Develop procedures for recording pickup schedules
  - Train/orient drivers on pickup system

Notes and Comments

- Develop procedures for obtaining court and witness schedules
- Develop procedures to verify witness travel expenses
- Establish payment account and procedures
- Develop record keeping procedures
- Develop vehicle upkeep schedule

- Inputs (On going)
  - Means of communicating with witnesses (e.g., letter, pamphlet, telephone)
  - A person to communicate with witnesses and schedule pick-up times
  - A vehicle to pick up witnesses
  - A driver or drivers
  - A person to coordinate court/witness schedules
  - A person to verify witness travel expenses and make payments
  - A person to maintain payment records
  - A person to maintain vehicle
- Inputs (Start up)
  - A person to plan systems for informing witnesses, recording schedule, train/orient drivers, obtaining court and witness schedules, verifying travel expenses, making payments, and record keeping.
  - Funds authorized for payment to witnesses

i. Debriefing: In the debriefing make the following points:

- This exercise was intended to demonstrate the utility of the MOR as a device to design the details of a program element -- in the major workshop the participants will have a chance to carry the process through to the end.
- This process is an iterative process -- there are several options open to the program developer as to specific inputs and activities -- the program developer might be forced to go through several stages of refinement before a final set of inputs and activities is developed.

Notes and Comments

- o In deciding between specific activities and inputs, when options are available, the criteria used to assess potential elements (i.e., effectiveness, feasibility, acceptability, evaluability and cost) should be applied.
- o This process was hindered by a lack of hard information about the conditions in the town, city, or state where the program was to be implemented. It would be easier to develop these activities and inputs if this information could be made available.

End of desk activity

10. Applying the MOR to the Design of an Element: Identifying and Assessing Results

a. The final step is the design of an element using the MOR is to identify and assess the results of the element's activities.

- o Review: The results of a program are the direct and immediate products of the activities.
- o Example: The results of the activity of providing job counseling to juveniles is a certain number of juveniles receiving advice, guidance or job referrals.
- o When stated in terms of measurable and time-bound products, the results of an activity can be thought of as objectives of the activity or element. At this stage in the program development process we cannot yet state the

Notes and Comments

results as objectives. However, the results will eventually form the basis for developing the objectives.

b. Identifying the results of an activity is a straightforward projection of the activity, described in terms of products rather than as a process.

c. At this stage the program developer should be concerned about two aspects of the results the activities should achieve:
   - The magnitude of the results (e.g., the number of juveniles counseled) and
   - The logical relationship of the results to the strategic goal and the strategy.

d. Estimating the magnitude of results depends heavily on the circumstances and level of information available to the program developer.
   - In many instances it will be difficult to estimate how many cases a prosecutor could process or a counselor could handle over a period of time.
   - The program developer could refer to previous programs to arrive at reasonable estimates of magnitude.

e. The Problem Statement may provide indications of what the magnitude of results should be.
   - Example: If the Problem Statement indicates that an average of 342 witnesses

Notes and Comments

per year fail to show up in court because of transportation problems the program developer could assume that the transportation element will be expected to provide services to 300 or more persons over a years time to be as effective as possible.

- o Depending on the availability of local resources, the program developer may be forced to accept a lower level of performance which would significantly reduce, but not entirely solve the transportation problem.

f. Assessing the logical relationship between the results of an activity and the strategic goal is a necessary step to insure that the element or activities will, in fact contribute to the achievement of the strategic goal.

- o The program developer should ask, "If I achieve this level of results because of this activity or element, will this result meet the strategic goal?"
- o In some instances the results of the different activities will meet the strategic goal because of their cumulative effect.

Notes and Comments

g. As a result of this assessment the program developer may be forced to revise the activities of the element or select a different set of activities to achieve the necessary level of results.

- This may mean revising the type of inputs needed to support the activities.

Notes and Comments

Module V: Planning the Details of Program Strategies

Segment B: Workshop on Planning the Details of Program Strategies, Part 1.

INSTRUCTOR GUIDE

Introduction

a. In this workshop we will practice the steps discussed in the lecture relating to:

- Developing and assessing the elements of a strategy, and
- Planning the details of program elements

b. In this workshop you will develop the details of the strategy selected at the end of the previous workshop.

- Each group will continue to work independently with the strategy previously assigned.
- Each group will develop the details of one element under the strategy.
- Keep in mind that the products of this workshop represent elements of a larger program which might include other strategic goals, strategies, and elements. You are focusing on only one element because of time limitations. In an actual Program Development Effort, you would repeat these steps several times for each element of each strategy.

c. During the workshop the participants should have:

- o A copy of the Student Guide
- o A copy of the Problem Statement
- o The materials developed in the previous presentations in Modules III and IV.

d. At the conclusion of this phase of the workshop each group will make a presentation of its progress.

- o In the next phase of the workshop the groups will complete the process and present a decision package.

e. You may now leave for your assigned workshop breakout areas.

- o Any questions?

Notes and Comments

Module V: Planning the Details of Program Strategies

Segment B: Workshop on Planning the Details of Program Strategies, Part 1.

Notes and Comments

FACILITATOR'S GUIDE

1. Introduction:

   a. In this workshop the participants will be given an opportunity to practice the steps in the program development process related to:

      - Developing and assessing the elements of a strategy, and
      - Planning the details of program elements.

   b. The participants will work with the strategy assigned to them at the end of the previous workshop.

2. Preparations:

   a. For this workshop the breakout area should be equipped with a blackboard or flipchart, marker pens or chalk and tape to mount flipchart pages on the wall.

   b. The participants should have brought with them:

      - Their Student Guides
      - The Problem Statement, and
      - The materials developed for the presentations in previous workshops

   c. The previously developed materials should include:

      - The normative goal statement;
      - The list of strategic goals, including the strategic goal assigned to the group;

Notes and Comments

- The list of possible strategies developed by the group, including the strategies assigned to the group;
- The rationale of the strategy assigned to the group;
- The list of potential elements under the strategy assigned to the group;
- The strategy assessment;
- The citations in the Problem Statement relating to the strategic goal, and
- The list of problem components relating to the strategic goal.

3. Specific Instructions.

a. The workshop will be carried out in seven steps.

- Step 1. The participants will expand the list of potential elements under the assigned strategy (30 minutes);
- Step 2. The participants will assess the elements, applying the five criteria discussed in the lecture (45 minutes);
- Step 3. The participants will select one element from the list of potential elements (15 minutes);
- Step 4. The participants will identify the activities necessary to implement the selected element (30 minutes);

Notes and Comments

- Step 5. The participants will identify the inputs necessary to support the activities (15 minutes);
- Step 6. The participants will identify and assess the results of the activities (30 minutes);
- Step 7. The participants will prepare a presentation for the group (15 minutes);
- Total time allowed for this workshop is 5 hours including the debriefing (1 hour).

4. Step 1. Expanding the List of Potential Elements (30 minutes)

   a. The participants should refer to the list of potential elements developed in the previous workshop.

      - Those elements developed under the strategy assigned to the group (and only those elements) should be identified and listed separately on the blackboard or a flipchart sheet.
      - The normative goal and the strategic goal statements, and the description of the strategy should be either mounted where the participants can easily see them, or they should be copied on the flipchart sheet where the potential elements are listed.

   b. The participants should then begin to identify additional elements that could be used to implement the strategy.

Notes and Comments

- o They should refer back to the list of problem components relating to the strategic goal.
- o They should refer back to the portions of the Problem Statement relating to the strategic goal.

c. As additional elements are identified they should be added to the original list.

d. At the point where the participants have exhausted their ideas for additional elements, or after 30 minutes have elapsed, ask the participants to proceed to the next step.

5. Step 2. Assessing the Elements of the Strategy. (45 minutes)

a. Assign a letter identifier to each of the potential elements (A, B, C, D...etc.)

b. Have each of the participants remove the Potential Element Assessment Form from the Student Guide.

See next page for a copy

c. Have the participants re-read the portions of the Problem Statement relating to the strategic goal they were assigned.

- o Allow about 15 minutes for this step.

d. After the participants have completed reading the Problem Statement ask them to rank order the elements on each of the criteria listed on the Potential Element Assessment Form, and to compute an overall ranking score for each element.

Notes and Comments

- This is the total of all rankings assigned to an element. (e.g., If element A ranked 1 on effectiveness, 3 on practicability, 5 on acceptability, 4 on evaluability and 2 on cost, its ranking score would be 15.)
- Each participant should work independently.
- Allow about 10 minutes for this step.

e. After all participants have completed the form the Facilitator should collect them and record the vote on the flipchart after each element.
   - The average ranking score for each element should be computed (Total of all scores divided by the number of participants).
   - Allow about 5 minutes for this step.

f. After the scores have been computed open a discussion of the elements and the way they were scored emphasizing
   - The reasons why participants assigned the scores they did.
   - Evidence in the problem statement supporting the assessment.
   - Allow about 20 minutes for this discussion, then proceed to the next step.

6. Step 3. Selecting an Element for Further Development (15 minutes).

   a. After the 20 minutes of discussion the Facilitator should focus the group's attention toward the selection of one element for further development.

Notes and Comments

b. If the group cannot reach an agreement on their own, a second vote should be taken in which each element is assigned a single overall ranking.

   o The participants should not rank the elements on each criteria but only assign a single ranking score.

c. If the group chooses to vote, the results of the vote will be binding.

7. Step 4. Identifying Activities to Implement the Selected Element. (30 minutes)

   a. A new sheet of flipchart paper should be headed with a label of the element chosen in the previous step and divided into three columns headed:

      o "Inputs"

      o "Activities," and

      o "Results," respectively.

   b. The "Inputs" column should be further divided into two columns headed:

      o "Persons" and

      o "Resources" respectively.

   c. The participants should then begin to identify specific activities necessary to carry out the element.

      o The activities should be listed under the appropriate column.

Notes and Comments

- Remind the group to distinguish between "start up" activities and activities that would be carried out after the element is "up and running."

d. After all activities have been identified ask the group to proceed to the next step.

8. Step 5. Identifying Inputs to Support the Activities. (15 minutes)

a. On the same sheet, the participants should begin to identify resources and persons necessary to carry out the activities developed in the previous step.

- As inputs are identified they should be listed under the appropriate columns.
- If the group develops optional resources or persons to carry out an activity they should decide on one or leave the category open, indicating that there are options open.

b. After all inputs have been identified ask the group to proceed to the next step.

9. Step 6. Identifying and Assessing the Results of the Activities. (30 minutes)

a. On the same worksheet the participants should identify the probable results of the activities they developed in Step 4.

- The results are usually expressed as the logical products of the activities.

Notes and Comments

- o Example: If the group developed an activity to "establish guidelines for the police to divert juvenile arsonists" the probable result of this activity would be "police divert juvenile arsonists according to established guidelines."

b. Wherever possible, the participants should estimate the magnitude of the results to be achieved by activities.

- o The participants should refer back to the Problem Statement as a guide to the magnitude of the results to be achieved.
- o Example: If the Problem Statement indicates that only 5 percent of all fires are fully investigated and the group has developed an activity involving an increase in investigations, the group should estimate what the probable increase in the number of investigations would be or should be as a result of their activity.

c. Important: If information is not available in the Problem Statement, do not permit the group to guess about the magnitude of results.

- o They should indicate that the probable results are not known.

Notes and Comments

d. After all results have been identified the participants should review them and verify that the results will in fact contribute to or meet the strategic goal.

10. Step 7. Preparing the Presentation. (15 minutes)

a. The participants should organize the materials they developed for the presentation to the group.

b. In the presentation they will be expected to present.

- A restatement of the strategic goal statement;
- A restatement of the strategy they were assigned,
- The expanded list of elements developed in the workshop, and the identification of the element chosen for further development,
- A description of the activities necessary to carry out the element,
- A description of the inputs needed to support the element, including persons and resources,
- A description of the results to be achieved by the activities, including an explanation of how the results will contribute to or meet the strategic goal.

c. Each group will be given 15 minutes to make its presentation.

d. After the presentation has been prepared this part of the workshop is concluded.

Module V: Planning the Details of Program Strategies
Segment B: Workshop on Planning the Details of Program Strategies, Part 1: Debriefing

Notes and Comments

1. Presentations by the Groups. (45 minutes)
   a. Each group should present the products of its work in the workshop.
      o Each group should be allowed no more than 15 minutes for its presentation.
   b. Other participants should be encouraged to take notes on the presentations, but to withhold questions until the debriefing period.
2. Acceptable and Desireable Products
   a. Step 1: Expanding the List of Potential Elements.
      o Continuing the example used in the previous exercise, the following elements were identified for the strategy - Educate juveniles on the consequences of arson and arson prevention:
        - Educate juveniles on the consequences of arson
        - Treat and/or educate juveniles with an inordinate facination with fire
      o Additional elements under this strategy might include:
        - Develop advertising campaigns aimed at juveniles to prevent arson
        - Take school children to fire scenes to impress on them the destructiveness of fires
        - Develop regular classroom presentations on arson and fire prevention

b. Step 2: Assessing the Elements of the Strategy.

c. Step 3. Selecting an Element for Further Development.

- The element to be developed further is the development of a regular classroom presentation

d. Step 4. Identifying Activities to Implement the Selected Element.

- The <u>on-going activities</u> under this element would include:
  - Scheduling classroom time in schools
  - Scheduling instructors to make presentations
  - Conducting classroom presentations
- The <u>start-up activities</u> would include:
  - Establish the training course content
  - Developing the curriculum and materials
  - Recruiting instructors
  - Training/orienting instructors to curriculum
  - Testing and revising curriculum
  - Coordinating presentations with school year schedule
  - Persuading/orienting school authorities to program

e. Step 5. Identifying Inputs to Support Activities.

- <u>On-going inputs</u> would include:
  - A person to schedule classroom time and coordinate instructors
  - Instructors to make the presentations
  - Supplies of course materials

Notes and Comments

See next page

Module V: Workshop
Worksheet 1

POTENTIAL ELEMENT ASSESSMENT FORM

Strategy: Educate Juveniles on the Consequences of Arson and Arson Prevention

List of Elements	Criteria and Rankings					
	Effectiveness	Practicality	Acceptability	Evaluability	Cost	Retain?
A. Educate juveniles on the consequences of arson	3	3	3	3	3	$\bar{x}$= 3.0 NO
B. Treat and/or educate juveniles with an inordinate facination with fire	4	5	5	5	4	4.6 NO
C. Develop advertising campaigns	5	2	2	4	5	3.6 YES
D. Take juveniles to fire scenes	1	4	4	2	2	2.6 YES
E. Develop regular classroom presentations	2	1	1	1	1	1.2 YES

Notes and Comments

- Start-up inputs would include:
  - A person to establish what should go into the classroom course
  - A person to develop, test, and revise the classroom curriculum and materials
  - A person to recruit, train, and orient instructors
  - A person to coordinate the presentations with the school year calendar
  - A person to present the proposed course to the school authorities and persuade them to cooperate

f. Step 6. Identifying and Assessing the Results of the activities.

- The results of the activities would include:
  - An agreement with school authorities
  - A classroom course on arson prevention and the consequences of arson
  - A series of classroom presentations of the course
- The magnitude of results would depend on the number of schools and the size of the school-age population.

3. Debriefing.

a. After the participants have made their presentations, they should be encouraged to ask questions or make comments on the workshop, or the products of the groups.

Notes and Comments

b. In the debriefing the Instructor should emphasize the following points:

- o The purpose of planning down to this level of detail is to assure that the strategies developed in the previous module can and will be implemented.
- o Even if the program developer is not responsible for planning the program down to this level of detail he or she may be expected to review, comment on, or approve the development work of the persons who will actually implement the elements. Thus, these tools are valuable in that they provide a framework within which to make that assessment.
- o The criteria used to assess the different elements (i.e., effectiveness, feasibility, cost, etc.) can and should be used at several different points in the process--whenever more detail has been developed so that the criteria can be more precisely applied. Realistically, this step requires a detailed understanding of the jurisdictions' politics, finances, economic conditions, and governmental structure--more detail than we could provide in the exercise. In the participants' own jurisdiction, this information should be part of the program developer's tool-kit.

Notes and Comments

- The application of the MOR at this step is intended to provide a useful and familiar structure for the planning of the program. It is applied at the element level because it is at this level that realistic decisions about activities, inputs, and results can be made. It could also be applied at a higher level--at the strategy level--but the level of detail would necessarily be more abstract. In the participants' own jurisdiction, the appropriate level at which to apply the MOR will be much clearer. Persons at a higher level agency (i.e., a statewide operating or planning agency) might wish to apply the technique at the more general level. Persons working at a lower level agency may find that even more detail will have to be developed at this step.
- Once the planning gets down to the level of specific elements it becomes easy to lose sight of the overall program. Participants should avoid this by keeping in mind that each of the elements is only a part of the larger program plan.
- The second half of this module will refine the details of the elements further after which we will start back up to put these elements together into a package.

Notes and Comments

INSTRUCTOR'S NOTES

1. Review and Introduction.

   a. In the previous lecture segment we discussed the first steps in the planning of the details of the program strategies. We discussed:

      - The role of the program developer in developing the details of strategies
      - The identification and assessment of program elements, and
      - The development and assessment of the details of program elements

   b. In this segment we will continue the process and cover the following topics:

      - Identifying and assessing the impact of the program on the existing system,
      - Identifying and assessing the internal impact of program elements on each other,
      - Scheduling and networking the program elements,
      - Developing objectives,
      - Developing program resources and budgets, and
      - Preparing the decision package.

2. Identifying and Assessing the Impact of the Program on the Existing System.

Notes and Comments

a. For a program to work as intended, it must accommodate the system, both current and future, into which it fits. The program developer must look for constraints and potential impacts between the program and the existing context in which it will operate.

b. If not planned for, these impacts can damage the program and the system.

- The system can produce negative impacts on the program. Surrounding conditions can impair the program itself; as with legal obstacles or public resistance to certain strategies or elements. These are impacts <u>from</u> the system.
- Alternatively, program events can create crises in other parts of the system -- such as backlogs, resource drains, or crime displacement. These are impacts <u>on</u> the system.

c. The best way to demonstrate the importance of anticipating system impacts is to look at examples of programs that have failed by ignoring their contexts. These examples come from practitioners who consider the impacts to have been predictable and the damage preventable.

Notes and Comments

- Example: An example of how an unanticipated system impact damaged a program is the case of a program to train line police personnel. The program was set up so that a certain number of line officers were to be taken off the job and systematically fed through the training program a few at a time. However, the plan depended on the availability of a reserve of police officers who could cover for the officers going through the training. The program broke down when a new mayor was elected who placed a freeze on all hiring in the police department. In short order the reserve of officers disappeared and the police department could no longer afford to release men for additional training.
- Example: An example of how a program can have an impact on the existing system is illustrated by the case of a program to unify the state court system. One of the strategic goals of the program was to speed up the disposition of cases in the system. Unfortunately, the program was so successful that it created overcrowding in the prison system and a spill-over into local jails.

Notes and Comments

d. One way to identify and assess the impact the system might have <u>on the program</u> is to <u>develop a checklist</u> of factors, such as the one shown in your Student Guide.

See next page for a copy

- To use the list, ask of each factor named how it might figure in the action of the program now and in the future. Might it disrupt the program?
- Finding answers requires analyzing both <u>conditions</u> (e.g., unemployment) and <u>events</u> (e.g., elections). This means keeping up with current affairs, reviewing trends, and synthesizing these to anticipate changes in the system.

e. One way to identify and assess the impact the program might have <u>on the system</u> is to <u>review the Problem Statement</u>.

- A good Problem Statement will identify those agencies and systems that are already being affected by the problem or are currently trying to address the problem.
- A good Problem Statement will also provide data on the magnitude of the system's current effort with respect to the problem.

Notes and Comments

- Example: The Problem Statement indicates that prosecutors can currently handle only about 40 percent of all juvenile cases referred to them by the police. If you are designing a program that will increase the number of juvenile arrests made by the police this will have an obvious aggravating effect on the prosecutor's workload.

f. The program developer could prepare a System Impact Matrix

Create the format of the matrix on a flipchart or blackboard. The format is shown on the following page.

- Across the top of the matrix write in the agencies and organizations that are currently affected by the problem or are working to address the problem. This information should be contained in the Problem Statement or it should be gathered by the program developer.
- Along the left hand margin of the matrix write in the results of the various elements of the program.

g. The assessment of the program's impact can be carried out by systematically examining each cell created by the intersection of a result item and an organization or agency.

Notes and Comments

- While examining the cell the program developer should ask:
  - How is this agency currently affected by or affecting the problem?
  - How will the results of this element affect this agency?
- If a particular agency performs several different functions with respect to a given problem the program developer might be obliged to consider how the program's results will effect each of these functions.
- Example: If the police department is involved in a juvenile diversion program in addition to its normal prevention, investigation and apprehension functions the establishment of a neighborhood block watch effort might affect each of those functions (e.g., residents upset because the police divert rather than arrest juveniles identified by the block watch.)

h. This assessment could produce several responses from the program developer.

- The program developer may discover that he or she needs to gather additional information about a particular agency (i.e., the program developer realizes

Notes and Comments

that the probable impact of the program on the agency is not known)

- The program developer may choose to adjust the element or activities of the program to minimize or eliminate the anticipated impact.
- The program developer may develop additional activities in order to accommodate the anticipated impact.
- Example: If the results of the program will be to increase the workload on the police beyond a reasonable level the program developer may be forced to recommend an increase in the number of police or some other measure to accommodate the impact.
- The program developer may identify areas where the program must or could coordinate its activities with those of another agency or organization.
- Example: The program developer might discover that a senior citizens group already provides free transportation to elderly persons who are called to testify in court. This would be an obvious area where the program should coordinate its activities with a part of the existing system.

Notes and Comments

i. The System Impact Matrix is not a foolproof method of assessing the impact of a program on the system.

- The technique is only as useful as the completeness of the list of affected agencies and the list of program results.
- In a large, complex program involving many elements and activities the process could also be very time-consuming and complicated to interpret.
- Even after such an analysis there may be areas of impact that were not anticipated or which arise only after the program is underway.
- This technique can only minimize the number of unanticipated impacts -- it cannot entirely eliminate them.

j. Question to the Participants: Ask the participants how they currently account for or accommodate the impact of a program or project on the existing system? (10 minutes)

Class discussion

3. Identifying and Assessing the Internal Impact of Program Elements.

a. Another source of impact is within the program: the interactions between the various elements. Again, we want to identify

Notes and Comments

possible conflicts and areas of needed cooperation in the plan. We need to ask:

- o Who should talk to each other?
- o Who might interfere with each other?
- o Who is working at cross-purposes?

b. A way to systematically answer these questions is to assess the results of each element with each of the other elements. A convenient way to do this is to arrange the elements in a matrix. We will call this an Internal Impact Matrix, since it shows which elements can affect each other.

- o List the program elements, repeating them across the top and down the side of the matrix.
- o Examine all pairs of elements by looking at each cell, and asking:
- o Is there a conflict between these elements? (Are there inconsistent objectives; too much drain on the same personnel, resources, etc.?)
- o Is coordination needed between these elements in timing, communication, etc.?
- o Example: If the police are intended to inform witnesses about the availability of transportation services to and from the courthouse and another aspect of the

Notes and Comments

program entails training police on report writing, the program developer might include an orientation session on the transportation service during the other training being provided.

c. The program developer should make notes on the type of cross-impact anticipated and areas where different elements should be coordinated.

d. After the internal impacts have been identified the program developer should design measures to take care of these needs and integrate them into the list of activities.

Note that if new elements are added, they should be MORed and re-analyzed.

- Example: If the analysis indicates that there is a conflict between rescheduling the court's docket to permit trials on evenings and weekends, and the availability of public transit during those hours or days, the program developer may be forced to add auxiliary transportation services to accommodate both elements.
- Example: If the analysis indicates that there is a potential conflict between the time available to prosecutors to instruct witnesses prior to trial and the additional number of witnesses expected to be brought to court by the project, the

Notes and Comments

program developer may wish to add a coordinating mechanism to the program to smooth the flow of witnesses through the system.

e. Eventually, all the activities making up the program should be arranged on the matrix.

4. Networking and Scheduling the Program Elements. See Instructor's Note

a. Once all of the system impacts and internal impacts have been identified and accommodated, the program developer can now turn to the development of the program network and the establishment of a schedule for individual activities, elements and the program as a whole.

b. The MOR developed earlier provides little more than a <u>listing</u> of inputs, activities and results. We need an organizing tool to aid in further planning as well as in communicating the plan to decision makers and implementors. This tool should:

- o Relate the activities of the element in time, and enable the program developer or decision makers to make other decisions on how activities are to be scheduled;
- o Show implementors what is important to do when;

INSTRUCTOR'S NOTE

The coverage of networking in this section is very similar to the planning technique called PERT (Program Evaluation and Review Technique). This technique along with Critical Path Method, is commonly used to schedule complex projects or programs in business and industry. This presentation deletes the fairly complex mathematical considerations that go into estimating the duration of activities and the more refined aspects of establishing optimal networks, resource allocation, etc. A person with a basic grounding in algebra or statistics could probably master these methods in a short time. The participants should be urged to examine a standard reference on the subject such as:

> Joseph Horowitz. Critical Path Scheduling: Management Control Through CPM and PERT, New York: The Ronald Press Company; 1967.

Notes and Comments

- Show monitors and evaluators the planned sequence of program events.

c. A tool that fills these needs is the network -- a flow chart of activities in time.

d. The network is a graphic tool that displays three aspects of an element:

- How the activities of an element are sequenced or ordered with respect to each other,
- How long each activity will take to complete,
- What calendar dates are to be associated with the program activities.

e. How does a network display this information?

- The activities of an element are represented as processes in time, by means of horizontal lines: o—operate services—o
- The way the lines relate in space shows how the activities relate in time: their order, duration, and dates.

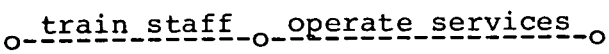
Demonstrate on flipchart or blackboard.

Notes and Comments

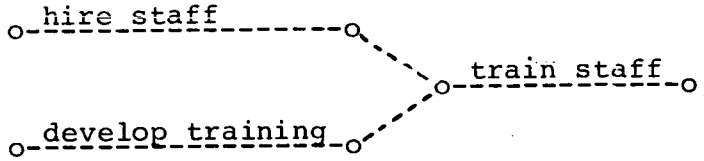
- The program developer should be prepared to adopt one of the fall-back options developed earlier in the process if some insurmountable conflict develops at this stage in the process.

5. Networking: Ordering the Activities of an Element.

   a. The planned ordering of activities is indicated by the left-to-right sequence of lines:



   b. Independent activities which have no necessary sequence or which could be carried out simultaneously are presented lined up one above another.



   c. Identifying necessary sequences among activities is largely a matter of logic. Look closely at the list of activities and ask, "What has to happen first, before something else can start?"

   d. A simple technique to help you develop the sequence of activities is to write each activity on a 3" x 5" card -- one card per activity -- and array the cards in front of you.

Instructor Note

INSTRUCTOR'S NOTE

Distinguish the use of "network" here from the evaluation course. There, the network is an extended MOR. Here, the network differs from a program rationale in function and content. Participants who question the utility of the distinction can be told these points.

- A rationale is not a work plan. It ignores durations and dates, though it implies sequence through logical dependencies.
- The network is a cornerstone of the plan. It arranges the activities as processes in time.
- The network also shows the activities necessary to set up that system, to assemble the program machinery.

Notes and Comments

- o This simple device enables you to easily rearrange the order of activities until a logical sequence is developed.

6. Networking: The Duration of Elements.

   a. Once you have established the sequence of activities you should then estimate how long it will take to complete the activity or estimate the period over which the activity will be carried out.

      - o The program developer should distinguish between activities that are carried out only once over a fixed period (e.g., providing orientation training) and activities that are carried out on a day-to-day basis throughout the life of the program (e.g., counseling juveniles).

   b. Duration is represented by setting the network against a time line.

      - o The program developer should first select an appropriate scale against which to display time (i.e., days, weeks, months). This will depend largely on the kinds of activities being performed and the level of detail at which the program developer feels most comfortable.

Notes and Comments

- During the early period of a program, when a variety of activities relating to getting the element started are being performed, the program developer may wish to use a shorter time scale. During later periods, when the program has (hopefully) settled into a routine longer time periods are more appropriate.

c. The program developer should then estimate how long each activity will take to complete.

- These estimates should be as accurate and realistic as possible because they will be used later to estimate the budget for the element.
- The program developer may wish to consult with persons who have performed similar activities to estimate the time needed to complete an activity.
- Remember, there is a natural tendency to assume that activities will be performed more quickly than they can be in reality. The program developer should balance off this tendency by permitting a certain amount of leeway for the completion of activities. This should be done particularly during the early phases of a program when persons are usually new to their jobs and uncertain about their roles.

Notes and Comments

- o Also remember that in order to perform a particular activity more quickly will usually involve a direct increase in the amount of resources and the number of persons needed, thus increasing the cost of the activity.

d. After each activity has been estimated for time the program developer can then display the network against the time line.

Visual V-B

- o The location and length of the line will indicate when the activity will begin, how long it is expected to last and when it will end.
- o Remember to maintain the sequence of activities. If, after arraying the activities against the time line, the program developer discovers that the schedule is too long, he should consider revising the activities or increasing the persons and resources needed for particular activities in order to speed up the process.

7. Networking: Dates and Milestones.

a. To this point we have networked and scheduled the element as if it could begin and end and reach certain points in its progress at any time. In the real world, however, programmers

Notes and Comments

are constrained by a variety of deadlines, time limitations and events that will determine where the beginning, the end and points between must fall.

- Legislative calendars, fiscal years, pending elections and competing events are examples of constraints on the program schedule.
- In other instances decision-makers will set dates by which the program must show substantial results or reach certain points in its progress.

b. Faced with these constraints, the program developer should identify or establish the critical dates and milestones for individual elements or activities and for the program as a whole.

Visual V-C

c. The process for identifying and accommodating critical dates in the schedule and network of a program is as follows:

- The program developer should identify those critical dates that <u>cannot be changed</u> (e.g., elections, legislative schedules).
- The program developer should attempt to minimize the number of unreasonable deadlines established by decision-makers. This may mean educating decision-makers

Notes and Comments

as to the realities of the program's probable rate of progress.

- o The program developer should then integrate the remaining critical dates into the schedule, assess how they will effect the program and identify possible remedies.

d. Possible remedies might include:

- o Collapse the network so that more activities occur together.
- o Adjust the expected level of results (e.g., reducing the number of clients to be served to cut proportionately the time required for an activity.)
- o Reallocate resources among activities (e.g., transferring money or people from a less to a more crucial activity).

e. Once the network and schedules for individual elements of the program have been developed and approved by decision-makers, the program developer may wish to construct a master network for the entire program, following the same procedures at the level of elements rather than activities.

- o Such a "master" network should not be constructed until the elements of the program have been approved.

Notes and Comments

8. Desk Activity -- Networking and Scheduling the Program Elements. (30 minutes)

   a. In this desk activity the participants will be given an opportunity to practice networking and scheduling the activities of an element.

   b. Have the participants read the instructions and the scenario in their Guide. Answer any questions and then have them carry out the instructions.

      - Allow 20 minutes for this step.

   c. Debriefing:

      - Have one of the participants present his or her network to the group.
      - Ask the participants if they have any questions or comments about the network presented.
      - Hand out the prepared version of the network to the participants.

   d. In the debriefing emphasize the following points:

      - The network provides a detailed schedule for each element of the program. When combined, the networks of all of the elements provide an overall schedule for the program. (In this desk activity we practiced only one. In an actual program

Notes and Comments

development effort this procedure would be repeated several times for each element. Eventually, when the elements have been approved, a master network would be constructed.)

- If you have taken the time to separate start-up activities from on-going, day to day activities the networking procedure should be much simpler. Note that networking tends to be more useful for depicting the descrete and time-bound activities during the early phases of a program than the on-going, day to day activities.
- In this example the time was adequate to carryout all of the activities and still meet the commitment of the governor to graduate a class from the new academy before the elections. However, under some circumstances the time may not be adequate and the program developer would be forced to consider alternative measures to make the deadline.
- By networking the program elements the program developer can identify potential problems and take steps to remedy them before they occur.

Notes and Comments

- The scheduling of activities through networking also provides the basis for establishing the program budget and establishing objectives.

End of desk activity

9. Developing Objectives for the Elements of a Program.

   a. The next step in designing the details of a program is to establish objectives for each of the program elements.

      - Review: An objective is "a specific condition to be attained by a specific program of activities, stated in time-limited and measurable terms."

   b. The two key phrases in the definition of an objective are:

      - "time-limited" and
      - "measurable."

   c. Earlier, when we discussed the "results" category under the MOR we indicated that the results of an activity could be considered as roughly equivalent to an objective when stated in time-limited and measurable terms.

      - Now that we have established the schedule for the activities of the program elements we have formed the basis for establishing time-limited objectives.

Notes and Comments

- o Earlier, when we discussed the magnitude of expected results we established the basis for developing measurable objectives.

d. Before discussing how objectives can be developed, based on this information we will first discuss the functions of objectives in a program. An objective serves two primary functions:

- o It provides an immediate standard against which persons working in a program can measure their own progress, and
- o It provides managers and evaluators with immediate indicators of how the program is working as a whole.

e. For the individual working in a program, particularly a large, complex program, the long-term outcomes of the overall effort often seem remote.

- o The person may not see how what he or she is doing is contributing to the accomplishment of the strategic or normative goals of the program.
- o In some instances the effects of individual elements are buried among the effects of other elements.
- o In many instances the accomplishment of the strategic goal will not occur or

Notes and Comments

become apparent for many months or years if at all.

- By establishing objectives the persons working in a program can receive immediate feedback on how well their part of the program is working, and -- presuming the logic of the strategy and of the strategic goal is sound -- the person can assume that success of an objective does in fact contribute to the accomplishment of strategic and normative goals.

f. For evaluators and program managers objectives serve a similar function; they provide a basis for immediately determining how well the program is performing as a whole even before the strategic goal has been, or could be expected to be accomplished.

g. Objectives are developed in a variety of ways: they may be established as a matter of policy by decision-makers or others; or they may be established empirically, based on an assessment of the expected and reasonable level of performance of the program elements.

- Objectives may be developed by decision-makers, courts, professional standard-setting bodies, or individual agencies as as matter of policy.

Notes and Comments

- o Examples: The courts may have established a limit on the number of persons who may be housed in a cell; a probation agency may set a quota on the number of clients a probation officer must serve; the state district attorney's association may establish a standard number of hours of training a new prosecutor must receive.
- o In program development the preferred approach to developing objectives is to empirically assess what the probable and reasonable level of performance of a particular element should be.
- o Example: If the program developer estimates that a given shelter care project can provide housing to a maximum of 600 juveniles per year, and the number of juveniles needing such services is in the thousands, it would be unreasonable to set an objective of reducing the number of juvenile runaways by 30 percent.

h. To establish reasonable objectives the program developer should:

- o Establish observable indicators of performance for the elements of the program.
- o Determint the magnitude of results likely to be achieved by a program element in terms of those indicators.

Notes and Comments

- Examine the network and schedule for the element and determine when those results will probably be achieved, and
- Estimate what a reasonable level of performance on each indicator for the element would be.

10. Desk Activity - Developing Objectives for the Elements of a Program (30 minutes)

a. The purpose of this desk activity is to give the participants a chance to practice setting objectives for an element of a program.

b. The participants should read the instructions and the information in their Student Guide and carry out the steps indicated on their own.

- Allow 20 minutes for this step.

c. Explanation of Suggested Answers.

- The estimated performance for six months is as follows:
  - five survey teams trained within one month from the start of the project
  - 500 households contacted within the first six months of the project
  - 100 inspections completed during the first six months
  - ten locks installed within the first six months

Notes and Comments

- o The first estimated level of performance is dictated by policy--no more than five teams can be trained and the training takes one month to complete
- o The second level of performance is a function of:
  - The number of months of activity (5)
  - The number of teams working (5)
  - The estimated number of contacts to be made (20)
  - 5 x 5 x 20 = 500 contacts
- o The third level of performance is based on the estimate that only 20% of all residents contacted will agree to a survey
  - 20% x 200 contacts = 100 inspections
- o The fourth estimate is based on the fact that 10% of the households are eligible for the service. Thus, each team has a 10% probability of contacting an eligible household of which only 20% are expected to agree to an inspection and thus be eligible for the lock installation service
  - 500 contacts x 10% x 20% =
    10 lock installations

d. Debriefing: Have one of the participants present his or her work to the group, and ask for comments or questions about the activity or the answers. In the debriefing make the following points:

- o Developing objectives is an important step in the program development process because:
  - It provides the basis for persons in a program to assess their own immediate performance.

Notes and Comments

- It provides the basis for managers and evaluators to determine immediately how the program is performing overall.

- If possible, objectives should be established empirically, based on the reasonable and expected performance of the elements.
- If the program developer is uncertain how a particular element will perform the objectives for that element should not be set arbitrarily, but should reflect the uncertainty about that element.

End of desk activity

11. Developing the Program's Resources and Budget

a. Planning for resources to support the program requires a set of interrelated decisions:
   - What amount is needed?
   - What amount is available?
   - What amount must be acquired to fill the gap?
   - The sources of the amount to be acquired?
   - How should the resources be allocated among parts of the program?

b. Resource decisions should address each of the program elements individually before assessing the overall program's budget. This should be done to avoid the common tendency to "shave" expenses in order to remain under a fixed dollar amount. This may be necessary later, but the program developer should do this with the knowledge of his actual needs.

Notes and Comments

c. The level of resources needed by a program element is a function of two factors:

- o The inputs identified as necessary to support the activities of the elements, and
- o The amount of time those activities are to be performed.

d. These factors have already been identified in earlier planning steps.

- o The inputs were identified and refined when we planned the details of the element.
- o The time factor was established in the elements' network and schedule.

e. To establish the level of resources necessary the program developer should

- o Determine the amount of inputs needed to sustain each activity (i.e., the number of persons; the quantity of materials, equipment and facilities);
- o Determine the length of time each of these imputs will be utilized, and
- o Determine the amount of money that will be needed to acquire and maintain that amount of input over that period of time.
- o Example: To provide victim crisis counseling would require the employment of a professional counselor (input). If the

Notes and Comments

service is to be provided on a twenty-four hour basis the program would be required to employ 4.5 full-time counselors at a certain salary level each year (24 hours coverage x 7 days per week ÷ 40 hours per week (standard work week per counselor) = 4.5 full-time counselors needed x yearly/monthly/weekly cost).

f. In many cases the program developer may wish to consult an accountant or budget specialist in estimating the costs of supporting an element. The method described here is suitable only for <u>estimating</u> the costs of a program and may provide the basis for more detailed estimates by an expert.

- This would be particularly true when the costs involve personnel or equipment likely to entail additional hidden or non-obvious costs (e.g. benefit levels, administrative costs, etc.)

g. The level of resources <u>already available</u> may be determined on the basis of the Problem Statement. A good Problem Statement will provide information about services already provided in relation to a particular problem as well as estimates of the amount of money being spent to address the problem.

- The program developer may wish to consider how resources used for current efforts could be appropriated or adjusted for use in the program.
- The program developer should also consider the utilization of resources already in place as a way to avoid the initial

Notes and Comments

acquisition costs of developing these resources from "scratch."

- o These factors will depend essentially on local circumstances. There is no standard formula for determining available resources except that the program developer should be thorough and imaginative in seeking out resources that could be adopted for use by the program.

h. The amount of resources to be <u>acquired</u> is a simple function of subtracting what is available from what is needed.

- o The amount to be acquired are <u>new inputs</u> to be created or obtained by the program.
- o The program developer should attempt to reduce the level of new inputs as much as possible, since these will usually be the most expensive and untested aspects of the program.

i. The <u>sources</u> of new inputs to the program will vary from jurisdiction to jurisdiction. Beyond traditional funding sources the program developer should:

- o Seek funding sources not traditionally used for criminal justice programs. Examples:

Notes and Comments

- Federal sources are CETA, Drug and Alcohol Abuse, and Emergency School Aid grants. These have supported such programs as youth diversion.
- Local sources range from Jaycees to the Salvation Army. These have been successfully applied, for example, to community crime prevention programs.

o Identify potential supports that do not require funding. Examples: Teaming citizen volunteers with policemen on foot patrol; finding existing structures to house detained juveniles rather than building new ones.

o Maximize the strength of what is available.

- Coordinate existing funding sources, service agencies, or other traditionally used resources whose application is currently isolated or fragmented. Coordination fills gaps and prevents duplication of effort. The concept of service networks refers to a method of focusing scattered resources on one problem.

j. In those cases where the program developer is constrained by a fixed level of money or resources, choices must be made about which activities will receive what level of material support. The allocation of resources among different activities within an element, or among

Notes and Comments

different elements within a program will depend on:

- o The relative importance of the different activities or elements to the overall success of the program
- o The expected level of performance of each activity or element in terms of expected output versus needed input, and
- o The optimal "mix" of activities and elements in the program.

k. In a complex program with several different strategic goals, several different strategies and several different elements and activities, the program developer should develop a sense of relative importance concerning the parts.

- o This may be difficult in a program where different elements and strategies depend on each other to work properly.
- o Example: The prosecutor will only improve his or her conviction rate if the police improve their report writing and the prosecutor has a more effective and efficient staff.
- o However, the program developer should develop a sense about those parts of the program that are most likely to produce the maximum benefits in relation to the amount of resources allocated.

Notes and Comments

1. The process of allocating resources will depend on the different trade-offs the program developer can make so as to balance the expected results against the needed inputs.

   - In obvious cases, such as an activity with a high resource need and a low or uncertain result level, the allocation decision may be relatively easy.
   - Example: Using police officers to conduct door-to-door home security inspections.
   - In many cases, however, the program developer may be forced to allocate resources experimentally before the best "mix" of activities or elements becomes apparent.

12. Preparing the Decision Package (Interim).

   a. The approval of the elements of the program is a decision point in the program development process. Thus, the product of the detailed planning steps discussed here should be a decision package which will enable decision-makers to assess the acceptability, feasibility, effectiveness, cost and evaluability of the proposed program elements.

   b. The decision package should contain materials developed at several stages of the

See next page for copy of one element only

program development process. For each element of the program the decision package should include:

- o The strategic goal statement under which the element was developed.
- o A brief description of the proposed element.
- o The objective or objectives to be achieved by the element.
- o A description of the inputs, activities and results under the element.
- o A network of the element.
- o A cost estimate for the element.
- o An assessment of the advantages and disadvantages of the proposed element, and
- o A description of how the element fits into the rationale of the strategy under which the element was developed.

c. Each of these parts of the decision package has been developed in one of the preceding steps in the program development process.

- o The strategic goal statement was prepared in Module III when all of the program's strategic goals were developed.
- o The proposed element was identified in Module IV in the development of alternative strategies or in this module during

Notes and Comments

An example of a full decision package is included in the Student Guide.

Notes and Comments

the initial expansion of the list of proposed elements.

- The objective or objectives of the element was developed in this module on the basis of the details of the element:
  - the inputs, activities and results, and
  - the element network
- The cost estimate should come from the cost estimate step discussed in this lecture,
- The assessment of the advantages and disadvantages should come from the assessment of the strategy carried out in the preparation of the strategy selection decision package and the assessment of both the internal and systems' impact of the element, and
- The rationale should come from the assessment of the logic of the strategy conducted in Module IV.

d. In preparing the full decision package, the program developer should consider the work completed to this point as being only preliminary to a further step in the process.

This is why this is called an Interim Decision Package.

- Having worked at the level of individual elements the program developer must now come back up to the level of the program

Notes and Comments

to see how the individual parts will fit together to accomplish the strategic and normative goals of the program.

This is covered in Module VI

13. Summary and Review.

a. In this module we have taken the program development process from a set of strategic goals and possible strategies to a detailed plan to implement the strategic and meet the strategic goals.

b. In this module we have discussed the following topics:

- The role of the program developer in designing the details of the program's strategies
- The development of elements under each strategy
- The design of the details of program elements
- The assessment of the elements impact on both the existing system and of the activities of the element on each other
- The development of a network and schedule for each element
- The development of objectives
- The development of a cost estimate
- The preparation of a decision package that summarizes the work completed to this point.

Notes and Comments

c. In the next module we will focus on the integration of the different program elements, and on the evaluation and management of the program itself.

Notes and Comments

INSTRUCTOR GUIDE

1. Introduction

   a. You are now ready to complete the Implementation Plan you began in the last workshop segment.

   b. In this workshop you will complete the following steps:

      - o Identifying and assessing the impact of an element on other parts of the criminal justice system.
      - o Identifying and assessing internal impacts within an element.
      - o Preparing a network of the element.
      - o Develop objectives for the element, and
      - o Develop a budget for the element.
      - o Prepare a presentation following the format of the full decision package.

   c. For this workshop the participants should have:

      - o Their Student Guide
      - o The Problem Statement
      - o The materials developed earlier in previous workshops

2. You may now break out into your groups.

   a. Your facilitator has detailed instructions on each step as does your Student Guide. Take it with you.

Notes and Comments

b. You will have 3 hours before we reconvene to hear your plans. (Give them a time to return to the classroom)

Notes and Comments

FACILITATOR'S GUIDE

1. Introduction

   a. In this workshop the participants will be given an opportunity to practice the steps in the program development process relating to

      - Identifying and assessing the impact of an element on other parts of the criminal justice system,
      - Identifying and assessing the internal impacts within an element,
      - Preparing a network of the element,
      - Developing objectives for the element,
      - Developing a budget for the element

2. Preparations.

   a. For this workshop the breakout area should be equipped with a blackboard or flipchart, marker pens, or chalk, and tape to mount pages on the wall.

      - The participants should also have a packet of 3" x 5" cards to be used in preparing the network of the element in Step 3.

   b. The participants should have brought with them:

      - Their Student Guides
      - The Problem Statement, and

Notes and Comments

- The materials developed for the presentation in previous workshops

c. The materials prepared earlier include:

- The normative goal statement,
- The list of strategic goals, including the goal assigned to the group,
- The list of possible strategies developed by the group, including the strategy assigned for further development,
- The rationale of the strategy assigned to the group,
- The list of potential elements under the strategy,
- The strategy assessment,
- The citations in the Problem Statement relating to the assigned strategic goal,
- The list of problem components relating to the assigned strategic goal, and
- The lists of the inputs, activities and results of the element selected for further development.

3. Specific Instructions.

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

- Step 1. The participants will identify, assess and take steps to accommodate the <u>impact of the element on the existing system</u>. (30 minutes).

Notes and Comments

- o Step 2. The participants will identify, assess and take steps to accommodate the internal impact of activities within the element. (30 minutes).
- o Step 3. The participants will prepare a network for the element, indicating the sequence and duration of each activity, and the dates when activities will start and end. (45 minutes).
- o Step 4. The participants will develop objectives for each of the activities under the element. (30 minutes).
- o Step 5. The participants will develop a budget for the element. (30 minutes).
- o Step 6. The participants will prepare a presentation following the format of a full decision package. (15 minutes).

b. Total time for the workshop is 3 hours.

4. Step 1. Identifying and Assessing System Impacts.

a. The participants should mount the sheet prepared in the earlier workshop listing the inputs, activities and results of the element.

See Facilitator's Note.

Facilitator's Note

This step is related to the lecture discussion on identifying system impacts. The workshop has been simplified so that only those impacts inside the CJ system need to be considered. This was done because:

- The participants were not given information on external problems or constraints, and
- To save time.

Notes and Comments

b. The participants should mount a second sheet headed System Impact Matrix near the first sheet.

c. The participants should refer to the Problem Statement and locate the agencies listed on Table 4 on page 9 .

   - o Each of these agencies should be listed across the top of the second sheet.
   - o The participants may wish to abbreviate the agency names (e.g., Farmington Volunteer Fire Department: FVFD).

d. The results listed on the first sheet should be numbered or assigned an identifying letter (A, B, C, etc.). These identifying numbers or letters should be listed along the left-hand margin of the second sheet to create the matrix arrangement.

e. The participants should then proceed to cross-reference each result with each agency and, referring to the functions performed by each agency (listed on Table 4 in the Problem Statement) determine what impact that result would have on the agency. The participants should ask:

Notes and Comments

- How is this agency, or agency function currently affected by the problem?
- How does this agency or its functions currently affect the problem?
- How will this result affect the agency or its functions?

f. If the participants identify an area where a result of an element's activity will have an impact on the agency, or one of its functions, the impact should be noted and recorded, either on the matrix or on a separate sheet.

g. After all impacts have been identified the participants should assess the nature, and if possible, the magnitude of the impact and devise appropriate measures to accommodate the impact.

- The participants may wish to <u>add</u> a new activity to the list
- The participants may wish to <u>revise or delete</u> existing activities
- If any activities are added, revised, or deleted the participants should also add to, revise or delete the input and activity lists as appropriate.

5. Step 2. Identifying and Assessing Internal Impact.

Notes and Comments

a. The participants should prepare a third sheet headed Internal Impact Matrix and mount it near the first sheet (the list of inputs, activities and results).

b. Across the top of this sheet, (below the heading) the participants should list the numbers or letters used to identify the results of the element. These same identifiers should then be listed along the left-hand margin of the page to create the matrix arrangement.

c. The participants should then proceed to cross-reference the results in a systematic, pair-wise manner and identify possible internal impact between the results. The participants should ask:

   - o How will this result affect the other results of this activity?
   - o Does this result conflict with some other result?
   - o Does this result reinforce or assist in the accomplishment of some other result?
   - o Is some other result dependent on this result?

d. As internal impacts are identified they should be noted on the matrix or on a separate sheet.

Notes and Comments

e. After all internal impacts have been identified the participants should devise appropriate measures to accommodate them, i.e. adding, deleting or revising the activities, inputs and results.

6. Step 3. Preparing a Network of the Element.

a. On the 3" x 5" index cards provided, the participants should copy the activities listed on the first page as revised -- one activity per card.

b. The participants should array the cards and determine the appropriate sequence of activities by group consensus.

c. When the sequence has been determined the group should then estimate how long it will take to complete each activity. This should be noted on the cards.

- Activities that will be carried out throughout the life of the program should be identified first.
- Duration is an issue only for those activities that will be carried out for a fixed period -- very often those activities carried out during the "start-up" phases of the element.

d. The participants should next select an appropriate time scale for the element

Notes and Comments

(i.e., days, weeks, months) and prepare a time-line in that scale on which the network will be arrayed.

- o The participants may wish to tape two or three sheets of flipchart paper together to form the time-line, and array the cards on the sheets lying flat on a table or the floor.

e. The participants should then arrange the cards on the time-line in the appropriate sequence and showing the duration of each activity.

- o The participants should follow the format demonstrated in the lecture and shown in the Student Guide on pages V-C-4b & V-C-12.

f. The participants should then tape the cards permanently to the time-line sheets and draw in the connectors and lines to complete the network.

7. Step 4. Developing Objectives.

a. The participants should prepare a sheet headed Objectives.

b. The sheet should be divided into two columns headed Results and Indicator respectively.

c. The participants should identify each result with a letter or number identifier,

Notes and Comments

and list these identifiers along the left-hand margin of the page.

d. For each result the participants should select an observable indicator and list the indicator under the appropriate column opposite the activity identifier.

e. From the results column on the sheet developed in the previous exercise (the sheet listing the inputs, activities and results), as revised in previous steps, the participants should estimate the expected level of performance on the activity.

- Example: If the activity involves "providing inservice training to arson investigators" an indicator might be "number of investigators trained" or "hours of training provided." The level of performance might then be "six fire investigators trained," or "200 hours of training provided."

- The participants should refer to the Problem Statement to determine the level of performance that could or should be attained.

Notes and Comments

- If the participants estimated the magnitude of results in the previous workshop, this step would consist only of translating these results into the form of the observable indicator.

f. Referring to the network and the sheet first prepared, the participants should draft a statement describing each objective in terms of:

- Indicating the level of performance to be attained,
- Expressed in the form of an observable indicator, and
- Indicating the time-limit for reaching the level indicated.

See Facilitator's Note.

8. Step 5. Developing a Budget for the Element.

a. The participants should prepare a sheet headed Budget.

b. The sheet should be divided into two columns headed Level Needed and Amount respectively.

c. The participants should identify each of the inputs on the original list, as revised, with a letter or number. These identifiers should be listed along the left-hand margin of the page.

d. By referring to the level of performance expected for each activity the participants

Facilitator's Note

In this step do not permit the participants to "make up" performance estimate without some reasonable basis. That is, the participants should be prepared to justify estimates to the group if they choose to make guesses about how well any one activity will be performed.

Notes and Comments

should estimate the level of resources needed for each input.

- o Example: If the activity of "providing training to fire investigators" was found to require inputs such as "instructors, training materials, and classroom space" the participants should estimate the level of each of these inputs needed (e.g., one instructor, six copies of training material, one classroom, etc.).

e. Referring to the network for the element the participants should determine for how long these inputs will be used or needed and estimate the total cost for each.

- o The cost figure should be inserted under the Amount column opposite the input.
- o If the participants do not wish to commit themselves to a dollar estimate, they may substitute the equivalent resource level estimate.
- o Example: "two instructors for two months" instead of "salary for instructors -- $6,000."
- o The participants should be prepared to justify their estimates before the group.

Notes and Comments

9. Step 6. Preparing the Presentation.

   a. The participants should prepare a presentation following the format of the full decision package.

      - The group will be given 15 minutes to make their presentation.

   b. The presentation should contain the following sequence:

      - The presentation of the strategic goal under which the element was developed,
      - The presentation of all elements under the strategic goal, and the identification of the element that was fully developed,
      - A description of the element and how it fits into the rationale of the strategy, i.e., how it contributes to the accomplishment of the strategic goal,
      - A description of the inputs, activities and results of the element, as revised,
      - A presentation of the network of the element
      - A presentation of the objectives to be achieved under the element,
      - A presentation of the cost of the element, and
      - An assessment of the advantages and disadvantages of the element based on the assessment of the system impact.

   c. After the presentation has been prepared the workshop is completed.

Notes and Comments

LECTURE NOTES

1. Introduction

   a. We will now hear what each group has accomplished in its workshop.

      - Each group will have 15 minutes to present its work.

   b. During the presentations you should take careful note of the details of the individual plans.

   c. Tomorrow (or in the next Module) the groups will be broken up into (2-3) committees to draw together the individual elements into an integrated program plan.

      - To assist in this process take notes of any parts of the other plans that might affect your own plan.

2. Example of Acceptable and Desireable Products.

   a. Step 1: Identifying and Assessing System Impacts

      - Continuing the example in previous exercises, the following diagram presents the systems impact matrix.

Agencies and Organizations

(From p. 9 of the Problem Statement)

Results (From MOR)	Fire Departments	Police and Sheriffs Departments	Prosecutors Office	State Fire Marshalls Office	Bureau of Human Resources	Youth Bureau	Hospital Burn Unit	State Attorney Generals Office	State Insurance Commission
• Agreement with School Authorities	none	none	none	none	none	none	none	none	none
• A classroom course on arson consequences and prevention	A	B	C	D	E	F	G	none	none
• A series of classroom presentations	H	I	J	none	K	L	M	none	none

Notes and Comments

- Explanation of possible cross impacts are:
  - A. Fire departments should be solicited for background information in designing course
  - B. Similarly, police departments should also make input on the course
  - C. Same for Prosecutor's Office
  - D. The State Fire Marshalls' office should be contacted for data on arson Statewide as further background for the course.
  - E. The Bureau of Human Resources should be contacted for background on the secondary consequences of arson
  - F. The Youth Bureau should be contacted for information on programs for youths arrested for arson
  - G. The Burn Unit should be contacted for information and background material on the physical effects of fire
  - H,I,J,K,L,&M. Each of these agencies should be contacted to provide instructors for the classroom course--possible impact on their manpower. In addition, if the course is effective, it may result in decrease in arson-related workload.
- Additional <u>activities</u> generated by this analysis include:
  - Contact local arson control agencies and agencies with arson-related functions for

Notes and Comments

background information and materials

- Contact (above) agencies for possible instructors for the course

- Additional inputs would be someone to make the above contacts and collect the necessary infromation and materials

b. Step 2: Indentifying and Assessing Internal Impact.

- The matrix for the above example is shown below.

		Results		
	Results	1	2	3
1.	Agreement with School Authorities	none	A	B
2.	A classroom course	C	none	D
3.	Classroom presentations	E	F	none

- The explanation for the cross impacts are:
  - A,B,C,&E. All work on the proposed course is contingent on the agreement with the school authorities. The program developer should consider whether a certain amount of development work should be done before approaching school authorities in order to give them an idea of the course's content.

Notes and Comments

- D&F. The content, length, and method of delivery will affect when and how often the course can or should be presented. These two factors will be coordinated.

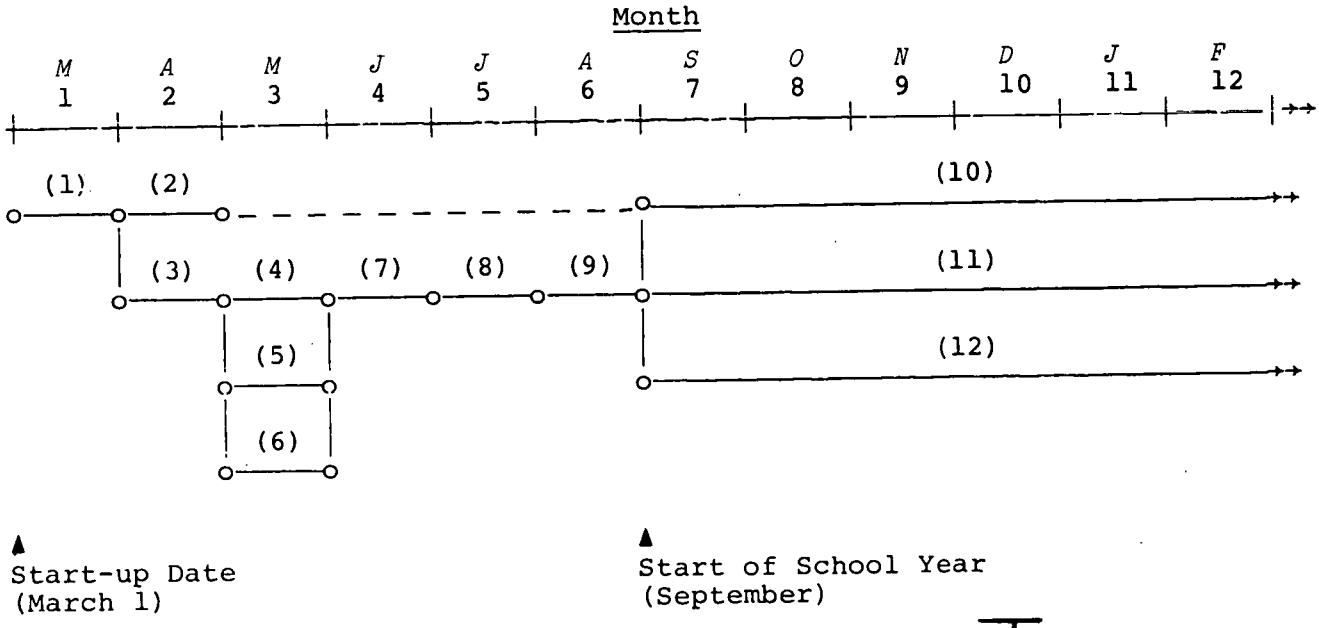
e. Step 3: Preparing a Network of the Element.

o The full list of activities identified to this point with the time estimate and sequence are:

1. Persuade and orient school authorities to accept course (1 month)
2. Coordinate presentations with school year schedule (1 month)
3. Establish course content (1 month)
4. Develop curriculum and course materials (1 month)
5. Contact arson-related agencies for information and materials (1 month)
6. Contact arson-related agencies for possible instructors (1 month)
7. Recruit instructors (1 month)
8. Train and orient instructors (1 month)
9. Test and revise curriculum (1 month)
10. Schedule classroom time (on-going)
11. Schedule instructors (on-going)
12. Conduct presentations (on-going)

Notes and Comments

- The network for this element is shown below for the first year:



- Analysis of the network indicates that the element must be implemented starting in March in order to begin classroom presentations in September at the start of the school year.

d. Step 4: Developing Objectives

- Reasonable indicators of performance for this element would be:
  - A written agreement with school authorities
  - A completed course curriculum package
  - The number of classroom presentations given
  - The number of students receiving the classroom presentation

Notes and Comments

o Reasonable objectives for this element would be:

- A completed written agreement with school authorities by April 1, 198_
- A completed curriculum package by September 1, 198_
- "X" classroom presentations completed by the end of February, 198_
- "X" students receiving classroom presentations by the end of February, 198_

e. Developing a Budget for the Element.

o The inputs identified for this element are:

- a person to schedule classroom time and coordinate instructors
- instructors
- supplies and course materials
- a person to establish course content
- a person to develop, test, and revise the course curriculum
- a person to recruit, train, and orient instructors
- a person to coordinate the presentations with the school authorities
- a person to present the proposal to school authorities and persuade them to cooperate
- a person to contact the relevent arson control agencies

Notes and Comments

- There is obvious room to collapse these inputs and assign them to a single person or at most, perhaps two persons: a full-time coordinator and someone to develop, test, and revise the curriculum.
- The completed product would look like this:

Level needed	Amount
1 full-time course coordinator	12 months x salary + expenses
1 full-time course developer	6 months x salary + expenses
"X" part-time instructors	6 months x salary + expenses
"X" sets of training materials	Cost

3. Presentations

   a. During the presentations the faculty should challenge the group to justify any assumptions it has made regarding levels of performance, costs or other aspects of the element.

   b. The other participants should also be asked to make comments or ask questions about the material presented.

      - This should be encouraged if there are apparent areas where two or more elements are likely to overlap.

Notes and Comments

- The refinement of the details of an element requires the program developer to consider:
  - how the element will affect the existing system
  - how the system might affect the element
  - how the system could be used to implement the element
  - how the internal results of the element will affect each other
  - the schedule for the element
  - what reasonable levels of performance for the element are
  - the overall cost of implementing the element
- We attempt to determine how the element will or should relate to the existing system in order to anticipate possible conflicts between the system and the element and to find ways of integrating the element into the existing system.
- We attempt to determine internal impact because the different results of the element may work at cross purposes to each other, or may be dependent on each other.
- We develop a schedule and network in order to locate the element in real time and identify possible bottlenecks or unreasonable deadlines before they occur.

Notes and Comments

- We develop objectives in order to help both implementors and evaluators appraise the performance of the element as it is in operation and before the longer term impact could be observed.
- We established the cost items for the element as the first step to developing a budget. In this exercise the task was only to estimate the level and amount of resources needed. In a real program development effort the next step would be to attach actual dollar amounts to those resources.
- Having worked through the details of the individual elements, the next step will be to integrate the elements into a coherent whole.

c. In the next workshop the details of the individual elements will be used to develop a final work plan which can be used by managers and evaluators.

d. Also, any changes found to be needed as a result of the coordination of the elements will be incorporated into the decision package.

End of workshop

Module 6

PREPARING FOR PROGRAM IMPLEMENTATION AND EVALUATION

Outline of Module VI

Preparing for Implementation and Evaluation

Segment A

1. Review and Introduction
2. The Role of the Program Developer in Preparing for the Implementation and Evaluation of a Program
3. The Importance of Integrating the Elements of the Program
4. Integrating Elements
5. Insuring that the Program is Implemented as Intended
6. The Concept of the Key Event
7. Identifying Key Events
8. Using Key Events in the Management of the Program
9. Using Key Events in the Evaluation of the Program
10. Summary and Review of the Course

Notes and Comments

Module VI. Preparing for Program Implementation and Evaluation

Segment A

INSTRUCTORS GUIDE

1. Review and Introduction.

   a. To this point in the program development process, we have completed a substantial portion of the work necessary to insure that:

      - The problem is correctly understood,
      - The strategic goals of the program reflect the important components of the problem,
      - The strategies are logical approaches to the attainment of the strategic goals,
      - The elements of the strategies are effective, feasible, acceptable, evaluable and economical, and
      - The details of the elements have been specified in terms of inputs, activities, schedules, objectives, budget, and internal and external impact.

   b. However, before the program can be implemented, the program developer must step back from the details of individual elements and once again view the program as a whole.

Visual I-C

Notes and Comments

- This means that the program developer must build on the work that has been completed and approved to this point, and if necessary, add new elements to the design of the program.

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

- The role of the program developer in preparing for implementation and evaluation.
- Integrating the elements of a program.
- The concept of the key event.
- Preparing the full decision package.
- Using key events in the management of the program.
- Using key events in the evaluation of the program.

2. The Role of the Program Developer in Preparing for the Implementation and Evaluation of a Program.

a. After the approval of the individual elements or a set of elements that constitute a strategy, the role of the program developer shifts from one of a designer and planner to one of a coordinator and facilitator.

- As a coordinator, the program developer should attempt to identify those linkages

between the elements of the program that will insure that they work together to address the problem.

- As a facilitator, the program developer should attempt to develop guidelines necessary to insure that the program will be carried out as intended.

b. Once the overall implementation plan has been approved, the program developer may be directly involved in the implementation of the program. The program developer may be responsible for:

- Carrying out certain elements of the program
- Providing technical assistance to the implementors
- Managing the overall program
- Monitoring or evaluating the program
- Making or advising on future decisions about the continuation or revision of the program.

c. In any or all of these roles, the program developer should have a grasp of the purpose, design, and intended implementation of the program in terms of its parts and as a whole.

Notes and Comments

Notes and Comments

d. The final product of this step in the program development process is a full decision package which provides the following information to decision-makers:

- The normative goal statement;
- The problem summary;
- The important components of the problem,
- A listing of the strategic goals;
- An overview of the strategies under each strategic goal;
- A listing of the elements under each strategy;
- The strategy rationales; and
- An assessment of the program with appropriate recommendations.

e. This material, along with the decision packages developed for each of the elements in the previous module, would be presented to decision-makers for a final determination:

- It is at this point that the program's strategic goals are finally approved and the shape and approach of the overall program is approved.

Notes and Comments

3. The Importance of Integrating the Elements of the Program.

   a. The separate elements of the program represent discrete and sometimes narrowly focused parts of an overall plan.

   b. Unless these elements are integrated and coordinated, they may tend to drift apart and become independent, small scale efforts with no purpose beyond the immediate objectives they are committed to accomplish.

   c. Example: A classic example of this phenonmenon is a community crime prevention program which had as one of its elements the organization of neighborhood groups to work to prevent crime. After several months the neighborhood organizing element became the primary focus of the program. Eventually, the staff responsible for neighborhood organizing was captured by a major political organization, and the crime prevention goals of the program were completely abandoned.

   d. By integration of the elements we mean that necessary linkages between elements are created so that the activities of one element can be coordinated to work with the activities of other elements.

Notes and Comments

- Example: If one element of a program involves providing information to the public about the availability of transportation services to witnesses and another element involves a public campaign to make citizens more receptive to testifying in court when called, there is an obvious area where the two elements could work together.

e. By integration of elements we also mean preventing conflicts between elements.

- Example: Very often efforts to create cooperation between different organizations are complicated by long-standing rivalries or the fact that there is a degree of overlap in functions among two or more agencies (e.g., municipal police departments and county sheriff's police).

f. The program developer in his role as a coordinator should help to create the linkages and head off the potential conflicts in the program by integrating the different elements of the program into a coherent whole.

Notes and Comments

4. Integrating Elements.

   a. Elements of the program can be integrated by:

      - Identifying areas where the activities of two or more elements could be combined or shared.
      - Identifying areas where the activities of two or more elements must be coordinated for one or both to operate effectively.
      - Identifying areas of potential conflict between elements.

   b. One technique for identifying these areas where elements could or should be integrated is to bring the persons responsible for or knowledgeable about the elements together to discuss the topic:

      - The Nominal Group Technique could be applied here effectively.

   c. A second approach would be for the program developer to create an Element Integration Matrix, similar to the device used in Module V to identify the internal and external impact of an element.

      - We will practice this technique in the concluding workshop.

- Under this technique, the activities of the different elements would be arrayed on the matrix and the areas of potential co-operation, coordination or conflict would be identified by examining pairs of activities.

d. Once areas of integration have been identified the program developer should create or propose appropriate remedies, such as:

- Combining or sharing staffs or resources among different elements.
- Creating an advisory group made up of representatives of individual elements to coordinate activities.
- Drafting cooperative agreements among agencies to spell out areas of cooperation and jurisdictional responsibility.
- Creating new elements for the sole purpose of fostering cooperation and coordination (e.g., internal newsletter, periodic meetings, joint planning sessions).
- Creating formal or informal relationships among persons working in different elements of the program.

Notes and Comments

Note to the participants that they completed a similar step earlier within their individual elements. In this step they are assessing cross-impact between elements and strategies.

Notes and Comments

5. Insuring that the Program is Implemented as Intended.

   a. In his or her role as a program <u>facilitator</u>, the program developer should also attempt to insure that the program is carried out as intended.

      - The program developer should recognize that after a program is implemented, the program may change in the way certain activities are carried out or the way resources are allocated.
      - However, the program developer has an obligation to insure that the strategic goals of the program, and the strategies developed to meet those goals, are followed within reasonable limits.

   b. <u>Question to the Participants</u>. Ask the participants if they know about or have worked on programs where the original goals and strategies were completely ignored after program was initiated. — Class discussion

   c. The two primary means by which a program can be kept on track with respect to its strategic goals and strategies are:

      - Through the way the program is managed, at the program or the element level.
      - Through the evaluation and monitoring of the program.

Notes and Comments

d. A conceptual device which will help the manager and the evaluator/monitor is called <u>key event analysis</u>.

6. The Concept of the Key Event.

a. In any large-scale undertaking, such as a program, there are some aspects that are relatively more important to the success of the effort than others. In the context of program development, these aspects of a program are called <u>key events</u>.

b. Key events are important in program development in that they should be <u>the focus of attention</u> of managers and evaluators.

- A manager/evaluator cannot observe or monitor all aspects of a program with the same degree of attention. Key events provide a method whereby the manager/evaluator can know which parts of the program should receive the greatest amount of attention.

c. A <u>key event</u> might occur at any point and at any level in the program.

- A key event might be a single activity within an element, or a set of elements under a strategy.

d. The principle which determines whether some part of a program is a key event is <u>not</u> its

Notes and Comments

size or the amount of resources devoted to its implementation. The factor which determines that an activity or an element is a key event is its importance to the success of the program's strategic goals.

7. Identifying Key Events.

   a. Key events may be identified by:

      - Reviewing the design of the program or of individual elements and identifying those inputs, activities or results that appear to play a major role in the way the program will operate;
      - Examining the networks and schedules of the program, and identifying those places where two or more activities or elements intersect;
      - Identifying the mechanisms created to coordinate or create cooperation among the elements (these mechanisms are key events almost by definition);
      - Negotiating with persons who may be involved or have a stake in the implementation of the program. (This is another place where NGT could be used).

   b. The program developer can also identify key events in a program by reviewing the assess-

Notes and Comments

ment of the logic of the strategy carried out in Module IV.

- o In that step, we identified the assumptions behind the strategy and attempted to determine how reasonable those assumptions were.
- o The assumptions were stated in the form, "If the program does A, B and C, then the strategic goal will be achieved."
- o Example: If the program provides training to police officers, and the officers understand and accept what is taught, and they have the time, means and motivation to use what is taught, then police officers will write better reports.

Ask class to select possible key events and discuss before giving them the ideas in "d" below.

c. Now that we have designed the program elements to implement the strategy, the program developer should identify those parts of the program that were intended to fulfill the logic of the strategy.

d. Example: The key events of the police training example would be those events that were designed to insure that the police officers received the training, understood what was taught, and had the time, means and motivation to carry out the instructions.

- o If any one of these conditions were not met, or were met for only a few persons,

Notes and Comments

this particular element would not succeed in meeting the strategic goal.

8. Using Key Events in the Management of the Program.

   a. The manager of a program can use the identified key events of a program to:

      - Select implementors to carry out the design of the program
      - Inform those implementors how the program or its elements should be carried out, and
      - Guide the activities of implementors after the program is under way.

   This is the first of two ways to use them, management and evaluation.

   b. Key events provide a means of determining what the qualifications of an implementor should be.

      - Example: If the strategy of providing training to police officers to improve the qualify of reports assumes that the training must be understood and accepted by the police officers, that knowledge suggests that whoever is hired to provide the training must be able to communicate effectively with police officers and maintain credibility with them during the training.

   c. Key events enable the program developer to focus on the critical requirements of the activities the implementor will be expected to

Notes and Comments

perform. These requirements can then be translated into criteria against which to assess various possible implementors.

- o Example: Given a choice between two instructors for the police training element of the program, the program developer might prefer an experienced police officer with special preparation in the area of report writing over an outside instructor with academic training in report writing.

d. Key events also inform implementors about what is important in their particular part of the program.

- o Example: The implementor should know that it is important that the counselors he or she hires to provide job counseling to ex-offenders are qualified to provide this service. Without this information, the implementor might substitute untrained college students or anyone else who could be labeled a "counselor".

e. Key events enable the program developer to specify the special requirements that an implementor should be prepared to carry out as a condition of participating in the program.

Notes and Comments

f. Finally, key events help managers of programs guide their activities after the program is underway.

- Example: If the manager knows that follow-up is critical to the success of the job placement element of the program, he or she can quickly focus on that particular activity and insure that it is carried out as intended.

g. Key events enable the program developer to identify areas where implementors may need special help and arrange for appropriate Technical Assistance in those areas.

9. Using Key Events in the Evaluation of the Program.

a. The second use of key events is to insure that programs remain on track through proper program evaluation.

b. Program evaluation is different from project evaluation in that the evaluator must work at a higher plane and must apply a different order of criteria in determining the efficiency and effectiveness of the program.

- The program evaluator must still evaluate how well each element of the program operates and the impact that element may have. However, the program evaluator must also

	Notes and Comments
determine how the elements of the program, working together, contribute to the accomplishment of the program's strategic goals.	
o It is possible for each of the individual elements of the program to work correctly, but for the program as a whole to fail. (Of course, if the program developer has followed the steps of the process described here, this possibility should have been minimized.)	
o Question to the Participants. Ask if any of the participants have had experience with, or know of, a program that failed despite the fact that its individual elements all succeeded.	Class discussion
c. Evaluators usually distinguish between two levels of evaluation:	
o Process evaluation, in which the primary focus is on the way the program operates and its success in achieving its objectives; and	
o Impact evaluation, in which the focus is extended to a determination of how the program affected the problem being addressed.	
d. The selection of one or both of these two levels of evaluation will depend on:	

Notes and Comments

- The needs and interests of decision-makers, and
- The degree of certainty or uncertainty about either the process or the probable impact of the program.

e. In a process evaluation, key events help the evaluator focus on those critical internal processes that should lead to the accomplishment of the strategic goals, according to the logic of the strategies being implemented.

- Example: Knowing that acceptance of the training by police officers is a critical assumption (key event) of the program, the evaluator can focus on determining how well police officers accepted the training.

f. In an impact evaluation, key events help the evaluator draw the necessary linkages between what the program did and the level of impact that was observed.

- Example: If the quality of police reports improved because of the training, the evaluator would then focus on the extent to which improved police reports contributed to improvements in the conviction rate of prosecutors.

Notes and Comments

10. Preparing the Final Decision Package.

a. Once the program developer has identified areas where the elements of the program should be integrated and has identified the key events of the program, the final step is to prepare a decision package for a final approval of the strategic goals and the substance of the program.

- o If the program developer has kept the decision-makers appraised of the progress and direction of the development process, there should be very few suprises in this decision package.

b. At this point there should be a minimum of "tinkering" with the details of the program; decision-makers should focus on the broader issues relating to:

- o The current and generally accepted understanding of the problem,
- o The appropriateness and adequacy of the strategic goals and strategies, and
- o The overall feasibility of the implementation plan to carry out the strategies.

c. The decision package should contain the following materials:

- o The normative goal statement for the problem area,
- o A summary of the problem, as it is understood,

Notes and Comments

- The important components of the problem derived from the Problem Statement,
- The strategic goal statements that formed the basis for the more detailed planning,
- An overview of the strategies developed to meet the strategic goals,
- The elements intended to implement the different strategies,
- The rationale for each strategy--the logic and assumptions behind the strategies, and
- An assessment of the strategies and a set of recommendations concerning the integration; implementation, and evaluation of the program.

d. To this material, the program developer should append the individual element decision packages as back-up documentation; this material was developed in the previous step in the process in Module V and was revised as necessary in this Module.

11. Review of the Module.

a. In this module, we have completed the final steps in the program development process. We have discussed:

- The role of the program developer in preparing for the implementation and evaluation of the program;

Notes and Comments

- Integrating the elements of the program;
- The concept of the key event;
- Using key events in the management of programs;
- Using key events in the evaluation of the program; and
- Preparing the final decision package.

b. In the workshop which follows you will complete the program development process by carrying out these remaining steps.

Notes and Comments

LECTURE NOTES

1. Introduction.

   a. We are now ready to begin to put the program together into a single coherent package.

   b. Each group has worked independently up to now.

      - We are all generally aware of what the other groups have proposed to do.
      - However, we do not yet have an overall perspective of how all the individual elements of the program fit together.
      - This program-level perspective is what we are going to develop in this final workshop of the course.

   c. We have three major tasks to complete.
      - Integrating the individual elements into a coherent package,
      - Identifying those key events that will guide the management and evaluation of the program,
      - Preparing a final decision package.

   d. The first task--integrating the individual elements--is necessary because:
      - Large-scale programs are seldom planned by single individuals or even a single group of individuals, and
      - When planning is divided among different persons or groups there are bound to be

Notes and Comments

significant conflicts, inconsistencies or gaps between their plans.

e. The second task--identifying key program events--is necessary in order to insure that the programmatic concerns which were built into the elements are carried out when the program is implemented, and are reflected in the program evaluation.

f. The third task will be to prepare a presentation following the format of the final decision package discussed in the lecture.

2. Workshop Process.

a. For this final workshop we are going to break up your original work groups and create (3-4) new groups made up of persons from each of the previous groups.

- o You will be responsible for representing your original group in this new group.
- o Your job will be to clarify and explain what your plan intends to do and how it is to do it.

b. The first responsibility of these new groups is to reconcile any conflicts, inconsistencies or duplications in the individual plans by:

- o Changing, deleting, or consolidating specific activities of the elements.

Notes and Comments

- Reassigning responsibilities for specific activities, or
- Creating new elements or activities to coordinate the elements or head-off possible conflicts.

c. The second responsibility of these new groups will be to identify the key events in the program that should be of the greatest concern to program managers and evaluators.

d. This work will then form the basis for the group's presentation of the overall program.

e. Each new group should have a copy of the following materials developed in the previous workshops:

- The complete list of all <u>inputs, activities and results</u> for each of the elements,
- The <u>rationale</u> of each groups strategy, and
- The list of <u>assumptions</u> behind each strategy.
- These materials have been copied and should be available to each group.

f. I will now assign each of you to a new group. See Instructor's Note

- Additional instructions will be given by facilitators when these groups convene.

INSTRUCTOR'S NOTE

You should point out to the participants that in a real program development effort there may be more integration of effort throughout the process, thus making it less necessary to formally integrate the program as a final step. On the other hand, in a large program development effort, where teams have been established to work on individual areas, this final coordinating step may be very real. In either case, the steps outlined here need to be accomplished if the program is going to be given its best chance of meeting its goals.

Notes and Comments

Module VI
Segment B: Workshop

FACILITATOR'S GUIDE

1. Introduction.

   a. The purpose of this workshop is to allow the participants to practice some of the steps discussed in the lecture relating to:

      - Integrating the elements of the program,
      - Identifying key events to guide program managers and evaluators, and
      - Preparing the final decision package.

   b. The original work groups will be broken up and mixed so that the new groups each contain two to three members from each of the other groups.

2. Preparations.

   a. This workshop will require some additional preparation on the part of the facilitator. This is due to the fact that the original groups have been mixed, and that each of the new groups will need copies of materials developed in previous workshops.

   b. As noted in the Facilitator Notes in Module IV, the facilitators should have made additional copies each of the strategy rationale and of the list of assumptions developed in the workshop in IV-B.

Notes and Comments

- These copies should follow the format used by the original groups.

c. At the end of the workshop in Module V-D, the facilitator should have also made two copies each of the list of inputs, activities and results, as revised, in that workshop.

- These copies should also follow the format used by the original groups.
- The facilitators should check the copies to make certain that all changes made by the participants are accurately reflected.

d. A copy of each of these materials should be available to each of the groups at the beginning of this workshop.

e. The breakout area should also be equipped with a flip-chart or a blackboard, chalk, or marker pens.

3. Specific Instructions.

a. The workshop will be carried out in three steps:

- Step 1. The participants will integrate the elements they developed in the previous workshops,
- Step 2. The participants will identify key events in the program, and

Notes and Comments

- Step 3. The participants will prepare a final presentation following the format of the final decision package.

b. Following the last step, the group will present its work and participate in a final debriefing.

- Each group will be given 15 minutes to make its presentation.

Following the presentations, the facilitators should collect and evaluate the final products before conducting the final debriefing.

4. Step 1. Integrating the Elements. (1 hour)

a. The three sheets indicating the inputs, activities and results of the three elements should be mounted in front of the group, where all members can clearly see them.

- The participants should assign letter identifiers to the three listings to make it easier to refer to them during the discussion (e.g., Group A, Group B, Group C.)

b. An additional sheet should be prepared, headed Element Integration Matrix: Group A x Group B.

- Across the top of the new sheet, beneath the heading, the participants should list the identifiers for each of the activities on Group A's list.
- Along the left-hand margin of the new sheet, the participants should

Notes and Comments

list the identifiers for each of the activities on Group B's list.

- This forms the matrix to identify possible areas of integration between Group A's element and Group B's element.

c. The participants should then proceed to identify areas of possible integration between the two elements by cross-referencing pairs of activities.

- All members of the group should be encouraged to participate, not just those in the two groups whose elements are being discussed.

d. In identifying areas of integration, the participants should ask:

- Could these activities be combined or shared?
- Do these activities overlap?
- Could these activities conflict with each other?
- Is one activity dependent on the other?
- Should these activities be coordinated?

e. As areas of possible integration are identified, they should be noted on the matrix or on a separate sheet.

f. When all areas of integration have been

Notes and Comments

identified, the group should develop appropriate ways of responding:

- Adding new activities to one or both elements;
- Deleting or revising activities.

g. Any changes in the activities created by integrating elements should be reflected in appropriate changes in inputs and results.

h. After the group has completed integrating the activities in Group A and B's elements, the same procedure should be followed for Group A and Group C, and Group B and Group C.

- Subsequent changes may create the need to revise earlier changes. All changes should be carefully noted.

5. Step 2. Identifying Key Events. (1 hour)

a. The revised lists of inputs, activities and outcomes should remain mounted, and the Strategy Rationales and Lists of Assumptions should be mounted nearby.

b. A sheet headed Key Events should be prepared.

c. The group should first identify those key events developed in this exercise where new activities were created to coordinate, consolidate, or otherwise integrate the elements.

- These activities should be listed on the Key Events worksheet.

Notes and Comments

d. The group should then identify key events within each element by noting those activities that appear to be critical to the success of the element itself.

   o The group should briefly review the rationale and the assumptions behind each of the three strategies which the elements are to implement. Activities designed to implement or guarantee the fulfillment of these assumptions should be identified.

   o These activities should be listed on the Key Events worksheet.

e. After all key events have been identified, the group should prepare a final sheet headed Recommendations.

   o The participants should review the key events identified and develop specific recommendations on how the program should be implemented and evaluated.

   o The recommendations should include such factors as:

      - Qualifications or characteristics of implementors

Notes and Comments

- Special conditions to be met by implementors,
- Areas where technical or some other form of special assistance should be provided, and
- Areas where evaluators should focus their attention or make a special effort to determine process or impact performance.

6. Step 3. Preparing the Final Presentation. (one hour)

a. In the final presentation, the group will present its final recommendations on how the program is to be integrated, implemented, and evaluated, based on the work just completed, and following the format of the final decision package.

b. The final presentation will follow the following sequence:

- A brief presentation of the normative goal,
- A brief summary of the problem,
- A description of the three important components of the problem addressed,
- The three strategic goals addressing the important components of the problem,
- A brief presentation of the three strategies developed in the process,

The first five topics have been covered several times before. The emphasis should be on the remaining four.

Notes and Comments

- A brief description of the three elements that were fully developed in the exercise,
- A review of the rationale behind each strategy, and
- An assessment of (1) how the elements implement the assumptions behind each strategy, (2) how the strategies will contribute to the accomplishment of the strategic goals, and (3) how the accomplishment of the strategic goals will contribute to the accomplishment of the normative goal.
- A description of the key events.
- A set of recommendations regarding: the qualifications or characteristics of program implementors, special conditions to be required in the implementation of the program, or areas of special interest to persons providing Technical Assistance, areas of special interest to program evaluators.

c. The group may divide responsibility for each of these parts of the final presentation.
   - The group will have 15 minutes to make its presentation.

d. After the presentation has been prepared, the workshop has been completed.

Module VI
Segment B: Workshop

Notes and Comments

INSTRUCTOR GUIDE

1. Introduction.

   a. We will now hear from each of the groups on the work they have completed.

   b. Each group will have up to 15 minutes to make its presentation.

2. Examples of Desireable Products.

   a. Step 1. Integrating the Elements of the Program.

   - Because only one element was developed in the example, we cannot present a specific example of how the classroom presentation could be integrated with one or more other elements.
   - Examples of possible types of integration of elements for a program would be:
     - Developing a centralized coordinating body to foster cooperation between different elements.
     - Sharing or collapsing tasks among different elements.
     - Sharing or collapsing resources to reduce duplication and get maximum output for each element.
   - The participants may initially resist efforts to integrate their elements or become upset by the inevitable blurring of the boundaries

Notes and Comments

between elements that occur during integration. In the debriefing the facilitators should note that fact and comment on the degree to which the elements were truly integrated.

b. Step 2. Identifying Key Events to guide the Implementation and Evaluation of a Program.

- o Examples of possible key events <u>within</u> the element used in this example would be:
  - The needs analysis in which the contents of the course are determined, based on the areas where juveniles should be informed about arson.
  - The timing and scheduling of the element to assure that juveniles who would otherwise set fires are reached.
  - The development and testing of the course content and materials to assure that the information presented is understood, accepted, and remembered.
- o These key events were identified on the basis of the assumptions that were made when the strategy's logic was tested in Module IV.
- o Examples of the <u>recommendations</u> would be:
  - That considerable care be taken to determine those areas where juveniles most need to be informed about arson.

Notes and Comments

- That the course be heavily targeted to schools in areas with a higher than average incidence of juvenile arson.
- That emphasis be placed on the testing and revision process to assure that the materials are appropriate to the audience the course is aimed at. This suggests the need to recruit a course developer with experience in preparing courses for juvenile audiences, and to make this an area of special emphasis in the evaluation.

c. Following the presentations the facilitators should collect and evaluate the materials presented before the final debriefing. — See instructor note

3. Debriefing by all faculty members. (30 minutes)

a. During the debriefing the facilitators should note the following features of the final presentation:

- The extent to which the elements were truly integrated.
- The relationship between the key events identified and the assumptions made in the logic of the strategy for each element.
- The degree to which the elements reflect the strategies and the strategic goals developed earlier.
- The degree to which the presentations address or fail to address possible problems in the recommendations section of the presentation.

Instructor Note

The final debriefing should include a critique of the work completed in the last workshop. After the last presentation has been completed the instructors should call a brief recess. During the recess the instructor and other facilitators should review the work of the groups and draw up a detailed critique of the products. The critique should focus: first, on the teaching points outlined under the debriefing points; and second, on the degreee to which the products deviate from or build upon the work done in previous workshops.

Notes and Comments

b. Additional points to be made in the debriefing are:

- The elements of the program, by themselves, do not constitute a program.
- Only when the elements are integrated do they constitute a programmatic effort.
- The program developer must think at two levels at once:
  - How the elements will operate individually, and
  - How the elements will operate together to achieve the normative goal.

3. Review of the Course (30 minutes)

a. At this point, we can now review our steps to see how we got to where we are.

b. In Module II, we began with a problem as it was described and explained in a Problem Statement.

- We assessed the adequacy of the Problem Statement to determine whether we knew enough about the problem to develop a program.

- We also looked at the problem in the context of other competing problems to determine whether it should be addressed now, later, or ever--and how much effort to put into trying to solve it.

Notes and Comments

c. In Module III, we used our understanding of the problem to develop strategic goals.
   - o We broke the problem down into its important components, and drafted strategic goals for each.

d. In Module IV, we developed strategies to implement the strategic goals.
   - o Using two different approaches--the Problem Statement and the Strategic Goal--we identified possible strategies and assessed the logic of each.

e. In Module V, we developed the elements of the strategies.
   - o Starting with a list of potential elements, we expanded the list,
   - o Developed the details of those elements,
   - o Assessed the internal impact of the elements and the impact on the existing system.
   - o We developed a network of each element,
   - o Established objectives for the element, and
   - o Developed a budget for the element.

f. Finally, in Module VI, we integrated the elements into a coherent program, identified the key events of the program, and prepared for the implementation and evaluation of the program.

Notes and Comments

4. Course Closing.

   a. The process described here is an ideal, and like all ideals it can seldom be achieved completely in the real world. However, the principles expressed are sound and deserve your best effort.

   b. If you can adapt any or all of these steps into your work--or even an approximation of these steps--you can be reasonably confident that the results will be worth the effort.

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