

U.S. Department of Justice  
Law Enforcement Assistance Administration



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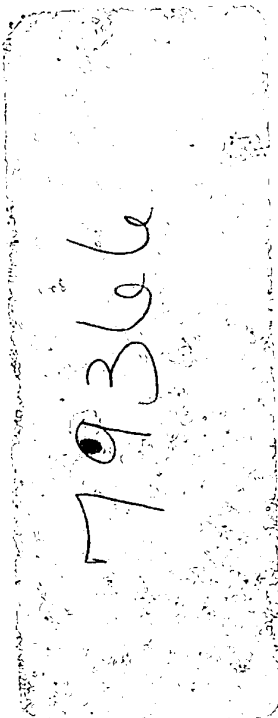
# **Criminal Justice Planning and Management Series**

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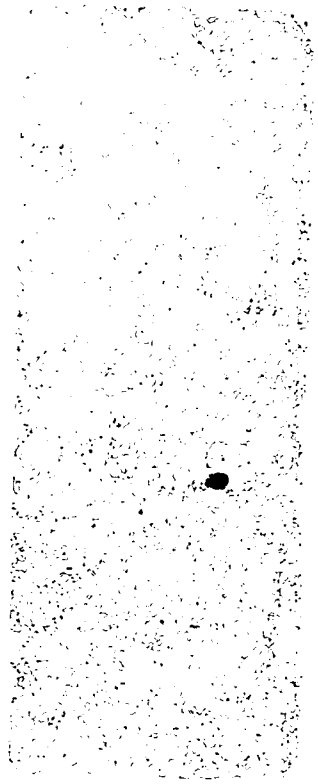
*Volume 5*

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## **Criminal Justice Management Course: Instructor Guide**



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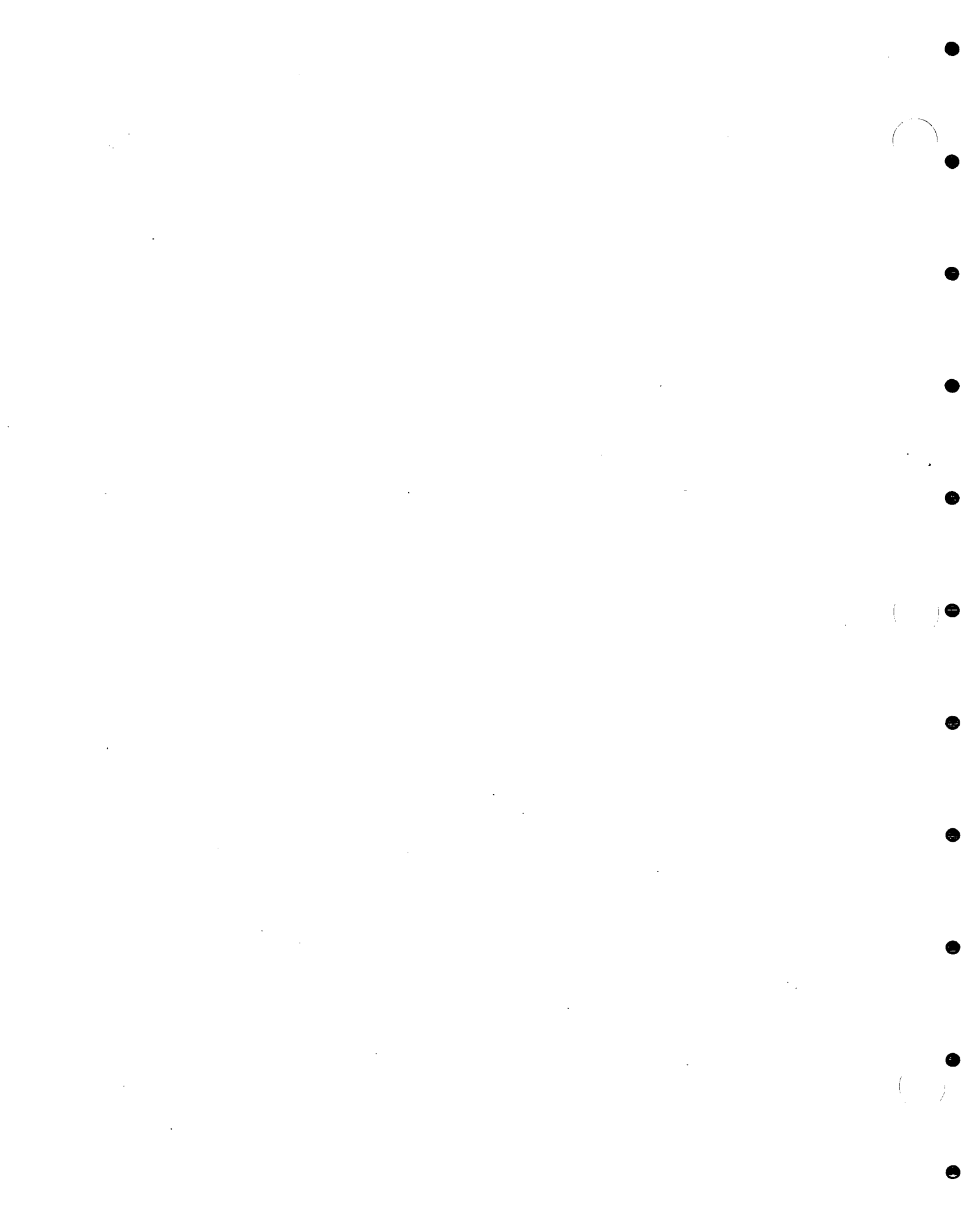
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Instructor Guide  
(Final)

CRIMINAL JUSTICE MANAGEMENT

A COURSE FOR  
CRIMINAL JUSTICE  
ADMINISTRATORS

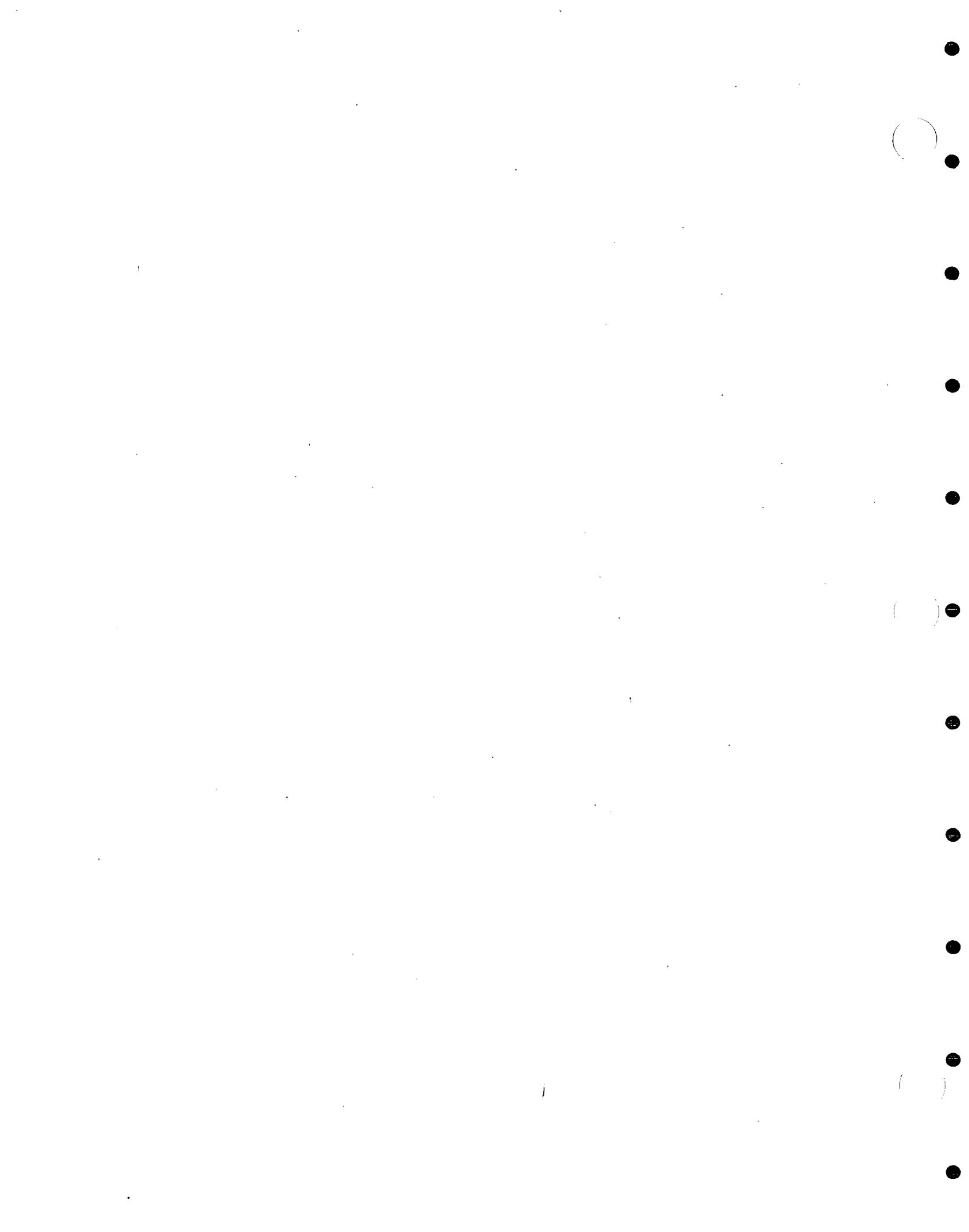
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## CRIMINAL JUSTICE MANAGEMENT

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



Instructor Guide

CRIMINAL JUSTICE MANAGEMENT COURSE

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Glossary

Appendix A

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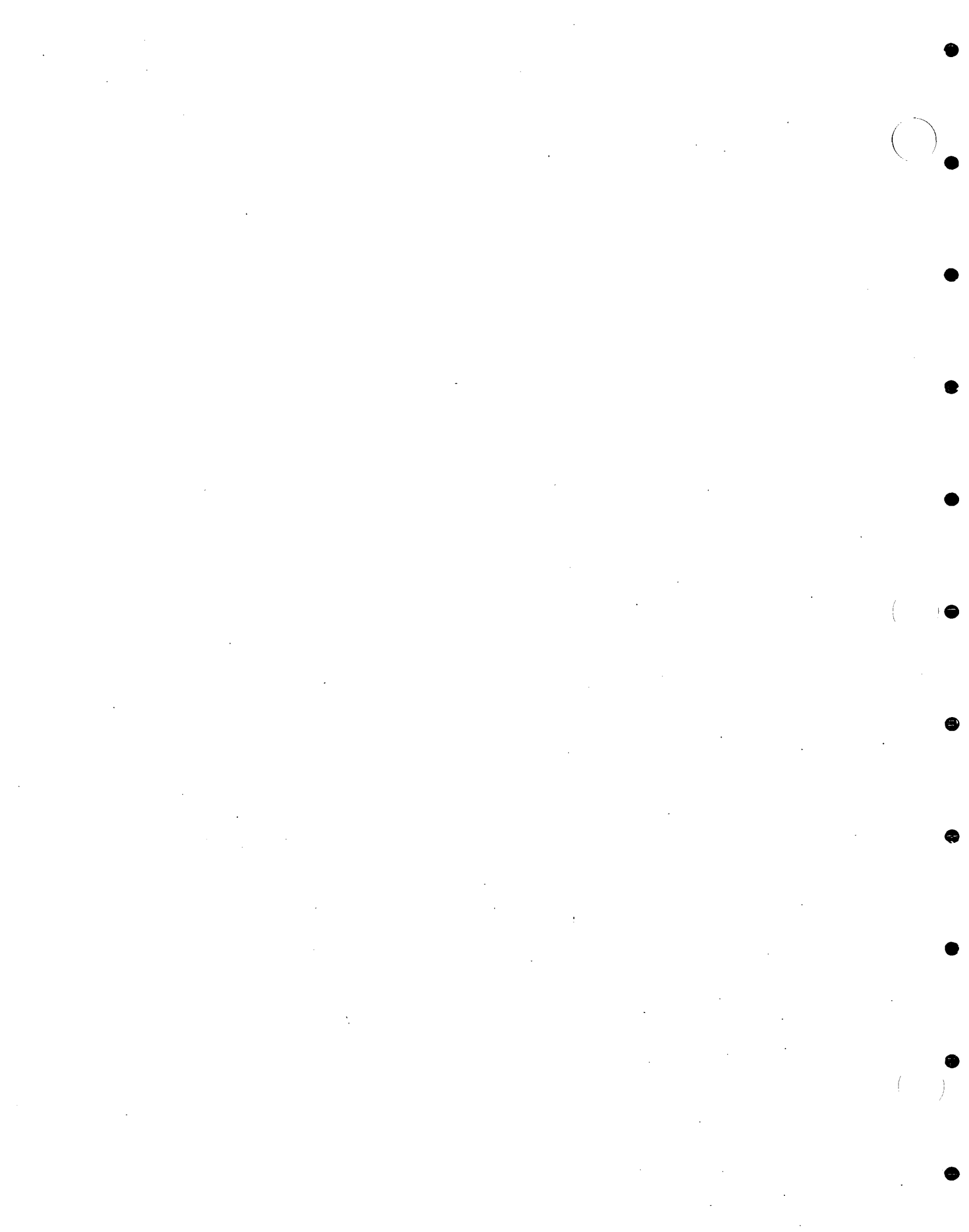


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MODULE ONE  
ROLES AND RESPONSIBILITIES  
OF THE  
CRIMINAL JUSTICE ADMINISTRATOR



## MODULE ONE

### ROLES AND RESPONSIBILITIES OF THE CRIMINAL JUSTICE ADMINISTRATOR

#### Module Overview

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

#### Learning Objectives

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

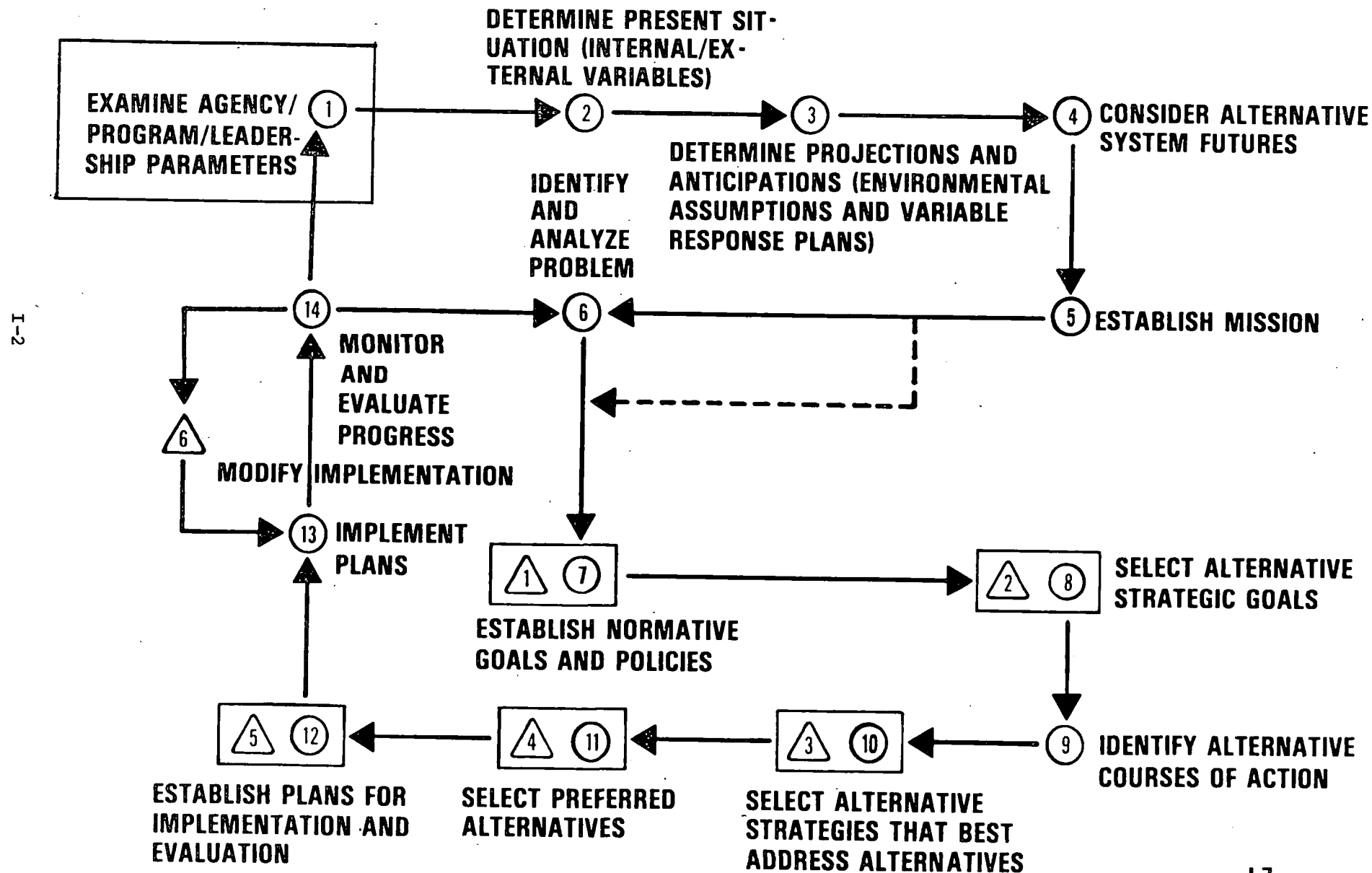
1. Interpret the Management Process Chart.
2. Identify and explain the three roles performed by a criminal justice administrator.
3. Identify and define the three major management responsibilities carried out by criminal justice administrators in performing their roles.
4. Define the various types of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

#### Description

This module consists of two major components:

1. A lecture
2. A group exercise

# MANAGEMENT PROCESS



I-7

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

## COURSE STRUCTURE AND METHODOLOGY

### Course Structure

The following guide is designed to assist individuals conducting the Criminal Justice Management Course. This introduction provides an overview of the Instructor's Guide. It describes the basic framework of both the course and the Guide, and explains how the Guide can be used most effectively by instructors in achieving course learning objectives. The subject addressed in the course, i.e., the management of criminal justice agencies and programs, is broad and quite complex. Consequently, the course cannot attempt to address in great detail any particular topic. Instead, the course strives to create a foundation upon which course participants can build an effective management system that will in turn enable them to achieve the greatest success possible in their unique organizational and political environments. The Criminal Justice Management Course is divided into four "modules". A brief description of the content of the modules is presented below.

Module One presents an introduction and overview of the course. It introduces the Management Process Chart that serves as a schematic guide for the remainder of the course. The theme of the course - the three roles and three major management responsibilities of the criminal justice administrator - is also introduced. Also in Module One, the various roles and responsibilities of the criminal justice administrator are explained in detail, thereby creating the conceptual framework for the remainder of the course.

Modules Two, Three, and Four each address one of the three major management responsibilities of the criminal justice administrator. Module Two discusses planning; Module Three, organizing; and Module Four, controlling. Each module covers both concept and application. Participants will be introduced to techniques in each of these management responsibility areas that they should find applicable in their working environments.

Many of these techniques are based upon, or interface with, those already taught in other Criminal Justice Training Center courses. As indicated at the outset, the field of management is indeed broad and complex. The approach to management presented in this course represents just one of many,

and participants should be informed that this is indeed just one of many approaches. This management system does, however, reflect and incorporate the other techniques and methodologies taught in the Planning, Analysis, Evaluation, and Program Development Courses, that have management applicability.

### Instructional Methodology

This course is intended for adult men and women who manage agencies, activities and programs in the criminal justice system. It is unrealistic to believe that any lecturer, no matter how excellent, can hold the attention of such individuals for long periods of time. Consequently, the course is designed to include learning activities other than conventional lectures. Specifically, the course breakdown is as follows:

- Lecture. Of necessity, lecture will be used in the course presentation. The Instructor's Guide is designed to assist in lecture presentation in the following ways:

- Please see the "model page" from the Instructor's Guide presented on the next page. As you can see, the page is divided into two areas: one for "Lecture Notes", the other for "Key Points and Comments". The Lecture Notes describe the basic information to be provided in the lecture. The "Key Points and Comments" provide additional information and "tips" on most effective presentation.

- In an effort to make the required lectures as "attention holding" as possible, frequent use is made of visuals. All the visuals are provided in the Instructor's Guide and selected ones in the Participants' Guides. As is pointed out often in the "Key Points and Comments" section, instructors are heartily encouraged to refer to these visuals during the presentation of the lecture. These references will both enhance understanding and contribute to keeping the attention of participants. Also referred to and included in the Instructor Guide are "exhibits". These are graphic representations, charts, etc. that are considered to be useful for retention by the participants, and therefore they are all included in the Participant Guide as well.

- Individual Desk Exercises. Several individual "desk exercises" occur in the course. The Instructor's Guide will contain the same instructions



## LECTURE NOTES

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

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

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

### Key Points and Comments

d. Recommendation that a project be funded

#### Examples of Coercive

##### Power:

a. Firing or demotion

b. Recommendation that a project not be funded

#### Examples of Legitimate Power:

Employees' willingness to implement a decision made by their superior with which they may not agree, but which they implement anyway because they sincerely believe it was the manager's "right" to make that decision.

#### Example of Referent

##### Power:

A chief of police exercises referent power when the chief's subordinates loyally implement the chief's policies

and exercise materials that will be provided to participants. In addition, the Instructor's Guide will present detailed guidelines concerning how the exercise should be conducted, and "debriefing notes" detailing the salient points that should be covered in the exercise "wrap-up".

- Group Exercises. Several group exercises are also included in the course that will require participants to respond to concepts and techniques presented in prior lectures. The same basic Instructor Guide format is followed for the Group Exercises as was described for the Individual Desk Exercises.

- Case Study. A major component of this course is a case study that attempts to provide participants with an opportunity to apply course concepts and techniques to a hypothetical criminal justice planning agency. The case study is deemed so vital to the overall course that, in the next section of this Introduction, a more complete description of the case and how it should be used in the course is given.

- Administrative Instructions. Administrative instructions should have been provided to participants in a pre-course mailing. However, instructors should take five minutes or so at the beginning of Module One to cover the essentials: classroom layout, workgroup organization, location of facilities at the meeting site, etc. An effort should be made to provide to participants some type of desk-top placard on which they should be directed to place their names.

- Participants' Expectations. The end-of-course evaluation asks participants to comment on the extent to which their expectations about the course were met. Therefore, it is essential that the instructor take some time after discussing administrative matters to solicit from the participants their expectations. These can be summarized and consolidated on chart paper to be referred back to at the end of the course.

#### CASE STUDY: THE NEW DIRECTOR

##### Introduction

The everyday world of the criminal justice administrator is quite a contrast to the average classroom setting in which the administrator is taught how to be more effective on the job. The tasks the administrator performs

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

The setting for the case study is Gotham City and Payneless County, which are located in the State of Misery. Gotham City is the county seat of Payneless County, and is in fact the only incorporated jurisdiction in the county. Gotham City has a population of 100,219. Payneless County, whose unincorporated area outside Gotham City serves, to a great extent, as a sprawling "bedroom community" for Gotham City, has a population of just over a quarter of a million. The focus of the case study is the criminal justice planning agency that operates in Gotham City and Payneless County. This planning agency is beset by many of the same problems that affect other criminal justice planning agencies: a rapid increase in crime, vicious local politics, and a certain degree of intra-organizational strife. The case study will follow this planning agency from the demise of one director through the installation and first year of a new director. During this period, both directors will encounter the challenges and perils inherent in performing the three roles of the criminal justice administrator that are addressed in this course. The course participants will share the "trials and tribulations" of the two directors. In the core exercises of the case study they will directly apply the concepts and techniques taught in the course to analyzing and formulating ways for dealing with the various situations in which the directors find themselves.

## Organization of the Case Study

The case study is divided into eight episodes. Each episode includes situation(s) that contain elements of the concepts and techniques that have been covered in the preceding classroom session. The titles of the eight episodes are as follows:

1. Life as a Criminal Justice Administrator
2. Enter the New Director
3. Charting a New Course
4. Selecting Alternative Strategic Goals
5. Assessing Strategic Elements and Strategies
6. Developing an Implementation Plan
7. Latest Allowable Time and Cutback Management
8. Coping with Stress as a Criminal Justice Administrator

Each episode is designed to be a self-contained unit. Accordingly, each episode has an individual set of materials that serves as the information base for that certain exercise in that episode. Each set of materials will be passed out to the participants just prior to their addressing the corresponding episode. This approach has been adopted for a specific reason: The case study is developmental in nature. Providing all the data and other information at once diminishes the spontaneity that generally characterizes managerial situations. Additionally, the information presented in later episodes could inappropriately prejudice the responses of participants to developments in the particular episode with which they are dealing.

The information provided for each episode is both objective and subjective. The objective data presented comes from the following primary sources:

- Census data;
- Crime data, that reflect crime statistics for Gotham City and Payneless County;
- Resource statistics, that give information about criminal justice agencies, including data on general personnel resources;
- System flow charts, that indicate workload breakdowns in and among agencies; and

• Survey data from a public opinion and victimization study that reveal information on citizen attitudes and unreported crime frequencies. In addition to types of objective data described above, the information provided for each episode will also contain subjective elements, such as:

- Intra-agency memoranda
- Letters between important "actors"
- Newspaper articles
- Editorials

As will be emphasized in the course, a criminal justice administrator seldom has the "luxury" of making decisions strictly on the basis of objective data. Consequently, the subjective data is provided to more closely approximate the "impure" environment in which the criminal justice administrator plays out the three roles.

#### Administering the Case Study

The materials for each episode are placed in the appropriate chronological sequence with the other components of the Instructor's Guide. For example, materials for Episode One are located in Module One at the point at which the Episode should be used in the course. Each episode will include a specific set of instructions on how the instructor(s) should administer that particular exercise. Included in these instructions will be a delineation of the objective(s) the exercise is supposed to achieve, what major questions are to be addressed by the participants during that exercise, suggested answers to those questions, and other "tips" to the instructor(s) on how to conduct the exercise in a manner most beneficial to participants.

- Introducing the Case Study

Participants should be informed during the introduction to the course that a case study will be a significant part of the overall learning experience. Suggestions concerning when and how this introduction should be made are given in the detailed portion of the Instructor's Guide that follows this section.

- Establishing Work Groups

The exercises for the episodes in the Case Study are designed to be performed either by "work groups" of from eight to ten participants

each or as "individual desk exercises". The composition of the work groups should be determined prior to the beginning of the course by appropriate staff members of the Criminal Justice Training Center or the agency sponsoring the course. Participants should be informed of their work group assignment during the opening course session. Two key factors should be addressed in establishing the work groups. First, each work group should be as diverse as possible in terms of agency representation and job experience. A work group that repeatedly consists predominantly of representatives of the same agency should be avoided if at all possible. Second, an attempt should also be made to balance the groups according to "interaction modes". For example, all the "outgoing" individuals should not be placed in the same group. Instead, groups should be established that offer the greatest potential for vigorous and open discussion of the issues in question.

- Work Group Setting

Each work group should be provided with a private area in which to perform the specific tasks in each episode of the case study. Each private work area should have the following supplies:

- A flip chart
- A set of colored marking pens
- Pencils and scratch pads

Any additional supplies that may be required for an individual episode will be delineated in the instructions for the instructor that precede that episode.

- Work Group Task

The materials for each episode of the Case Study will be distributed immediately preceding that particular episode. This will limit "reading ahead" which would hinder the developmental aspects of the exercises.

The primary "role" of the work groups or the individuals (in the case of desk exercises) will be to serve as "advisors" to the directors of the planning agency that serves as the focal point in the case study. As stated earlier in the Introduction, the directors will confront situations throughout the case study that offer various challenges and perils. The "advisors" will provide inputs at each key juncture concerning the course(s) of action

the directors should take to deal most successfully with the situation(s) being confronted.

From time to time, questions will be raised in the episodes concerning issues beyond the scope of specific advice to the directors. These questions will be clearly differentiated in the instructions preceding the episode to which they apply.

- Work Group De-Briefings

At the conclusion of the exercises in each episode the individuals or the work groups will reconvene as a large group to offer their "advice" to the directors or to comment on specific issues that are raised in the context of the episode. Each work group will appoint a spokesperson for each exercise, rotating this post so that each member will have an opportunity to serve. Specific instructions on how this de-briefing for each exercise should be conducted appear in the instructions for the respective episodes.

- Role of the Facilitator

A facilitator should be assigned to each work group. The facilitator should be present throughout the discussion sessions that accompany each group exercise. To the extent possible, the facilitator should assume the role of "interested observer" in these sessions, and should not play an active role in the group discussions. However, facilitators should be available to clarify points concerning the instructions for a given exercise or to help the group to properly focus its deliberations in the event that discussions wander from the pertinent area(s).

## LECTURE NOTES

### I. THE EMERGING DISCIPLINE OF CRIMINAL JUSTICE ADMINISTRATION

During the past decade there has been a growing awareness of criminal justice administration as a distinct entity within the broad field of public sector management. The number of institutions of higher education offering degrees in criminal justice administration or some variation has increased dramatically. During this same period, the Law Enforcement Assistance Administration has created a series of courses designed to develop and enhance various capacities which contribute to the improved management of criminal justice agencies. These specific capacities are the functions of:

- Planning
- Analysis
- Program Development
- Evaluation

The planning function was the first of the four to be defined and developed.

The remaining functions, Analysis, Evaluation and Program Development, are all based on the Planning Course. Each function produces product(s) that contribute to successfully performing one or more steps in the process. For example, the product of the Analysis function is a Problem Statement that can be used in:

- Defining Problems
- Setting Goals
- Identifying Alternative Courses of Action

The products of the various courses will take on a special significance as we discuss the ways in which a criminal justice administrator can more effectively perform these planning, organizing and controlling responsibilities. Essentially, these products are all

Key Points and Comments
Precede this lecture by reviewing administrative matters and course expectations (see "Instructional Methodology" on page I-4).
Display Visual 1-1



# LEAA COURSES

- **PLANNING**

- **ANALYSIS**

- **PROGRAM DEVELOPMENT**

- **EVALUATION**

## LECTURE NOTES

### Key Points and Comments

tools or technical devices that can enhance the effective performance of the management function. Although criminal justice administrators do not necessarily need to know how to develop these products, it is important for administrators to understand how to use the outputs of these other courses -- e.g., the problem statement -- to more effectively perform their administrative jobs and responsibilities.

*Point out that the products of these functions are a great source of potential support for the criminal justice administrator.*

*Display Visual 1-2*

A number of studies have shown that the higher up the managerial ladder an individual progresses, the more involvement that individual has with conceptual tasks. In general, people at all levels of management spend a great deal of time on human or interpersonal types of tasks, e.g., employee interviews, conflict situations, grievances, etc. Because all managers spend a great deal of time in dealing with interpersonal matters, this course will address a number of interpersonal topics:

- Power
- Strengths and weaknesses of different interpersonal styles
- Decision-making
- Change agent styles
- Conflict resolution
- Motivation
- Communication
- Stress

Furthermore, because middle to upper level managers spend a relatively small amount of time dealing with "technical types" of tasks, this course will spend very little time teaching participants how to develop the

# MANAGERIAL TASKS

I-15

TOP MANAGERS

CONCEPTUAL

MIDDLE MANAGERS

HUMAN

FIRST-LINE MANAGERS

TECHNICAL

## LECTURE NOTES

tools the managers use to make administrative decisions. These tools have been taught in the other courses. Rather, the Management Course will stress <sup>the</sup> the more practical/conceptual skills of how to take these technical products and use them to more effectively perform the managerial function.

### II. OVERVIEW OF THE COURSE

#### A. Course Theme

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

- Exercising authority over and directing their own agencies or organizations; <sup>and</sup>
- Managing programs or activities over which they have limited authority; and
- Exerting leadership or influence in areas over which they have no authority.

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

#### Key Points and Comments

*Display Visual 1-3*

*Please emphasize that the Course Theme is the basic assumption upon which the course is built. It will serve as the unifying element throughout the course, beginning with the next topic.*

*Visual 1-3 is prepared as a large poster and should be displayed in a prominent place in the meeting room throughout the course.*

# **COURSE THEME**

**THE THREE ROLES OF THE CRIMINAL JUSTICE ADMINISTRATOR ARE:**

- **EXERCISES AUTHORITY OVER AND DIRECTS  
OWN ORGANIZATION**
- **MANAGES PROGRAMS/ACTIVITIES OVER  
WHICH HAS LIMITED AUTHORITY**
- **EXERTS LEADERSHIP/INFLUENCE IN AREAS  
OVER WHICH HAS NO AUTHORITY**

**AS CRIMINAL JUSTICE ADMINISTRATORS  
CARRY OUT THEIR RESPONSIBILITIES THEY  
FREQUENTLY MOVE, IMPERCEPTIBLY, FROM ONE  
ROLE TO ANOTHER.**

## LECTURE NOTES

### B. Course Goal

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

### C. Course Objectives

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

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

## III. ACHIEVING COURSE GOALS AND OBJECTIVES: THE INSTRUCTIONAL APPROACH

### A. Lecture

A major component of course information is presented as lecture. Participants should be urged to raise questions consistent with the individual preferences of instructors. For example, if the instructor prefers that questions be raised at designated "breaks" in the lecture as opposed to sporadically throughout the pre-

### Key Points and Comments

Display Visual 1-4

Display Visual 1-5

# **COURSE GOAL**

**TO ENHANCE THE CAPABILITY OF CRIMINAL JUSTICE  
ADMINISTRATORS TO PLAN, ORGANIZE AND CONTROL  
ACTIVITIES/PROGRAMS UNDER THEIR AUTHORITY, AND  
TO PROMOTE THE IMPROVED PERFORMANCE AND AD-  
MINISTRATION OF OTHER CRIMINAL JUSTICE ACTIVITIES  
AND ORGANIZATIONS.**

# **COURSE OBJECTIVES**

**TO ENHANCE THE ABILITY OF PARTICIPANTS TO:**

- **APPLY SOUND ORGANIZATIONAL PRACTICES IN THE DEVELOPMENT OF QUALITY CRIMINAL JUSTICE SERVICES**
- **MAKE DECISIONS USING SOUND PRINCIPLES OF MANAGEMENT**
- **PLAN, ORGANIZE AND CONTROL CHANGE WITHIN THE CRIMINAL JUSTICE SYSTEM**
- **APPLY SELECTED MANAGEMENT TECHNIQUES WHICH CAN RESULT IN IMPROVED CRIMINAL JUSTICE SYSTEM PERFORMANCE**



## LECTURE NOTES

sentation, this should be explained to the participants at this point.

### B. Individual and Group Exercises

Exercises conducted on an individual and group basis will occur throughout the course. One of these exercises will be self-assessment oriented and will provide participants greater insight into potential strengths, weaknesses, and tendencies that they possess in key areas of the criminal justice administration function.

### C. The Case Study

Participants should be informed that a major Case Study will be presented in the form of "episodes" throughout the course. The issues raised in the episodes will highlight key points raised in the lectures, and those issues will be addressed in their work groups or as individual desk exercises.

## IV. THE MANAGEMENT PROCESS

A conceptual framework or "Management Process Chart" has been developed to schematically represent the flow of the management process. This chart is taken directly from the General Planning Process Model. Reference was made earlier to the Planning Course and the fact that that course serves as an organizing point for the other courses. The major product of the Planning Course is the General Planning Process Model.

The Management Process Chart is an outgrowth of the General Planning Process Model and was developed to

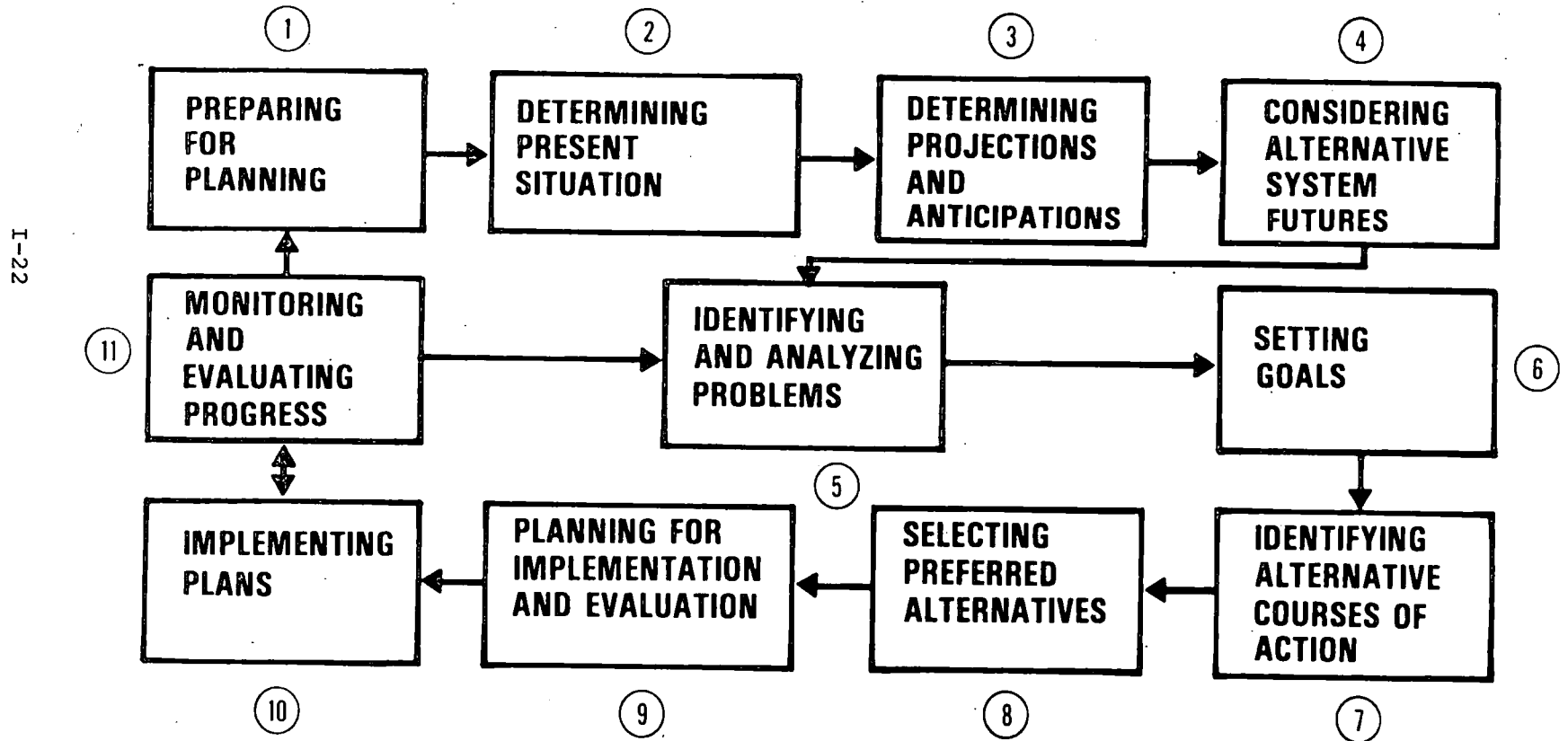
### Key Points and Comments

*At this point participants should be assigned to the work groups and be told that they will be a part of these groups throughout the remainder of the course.*

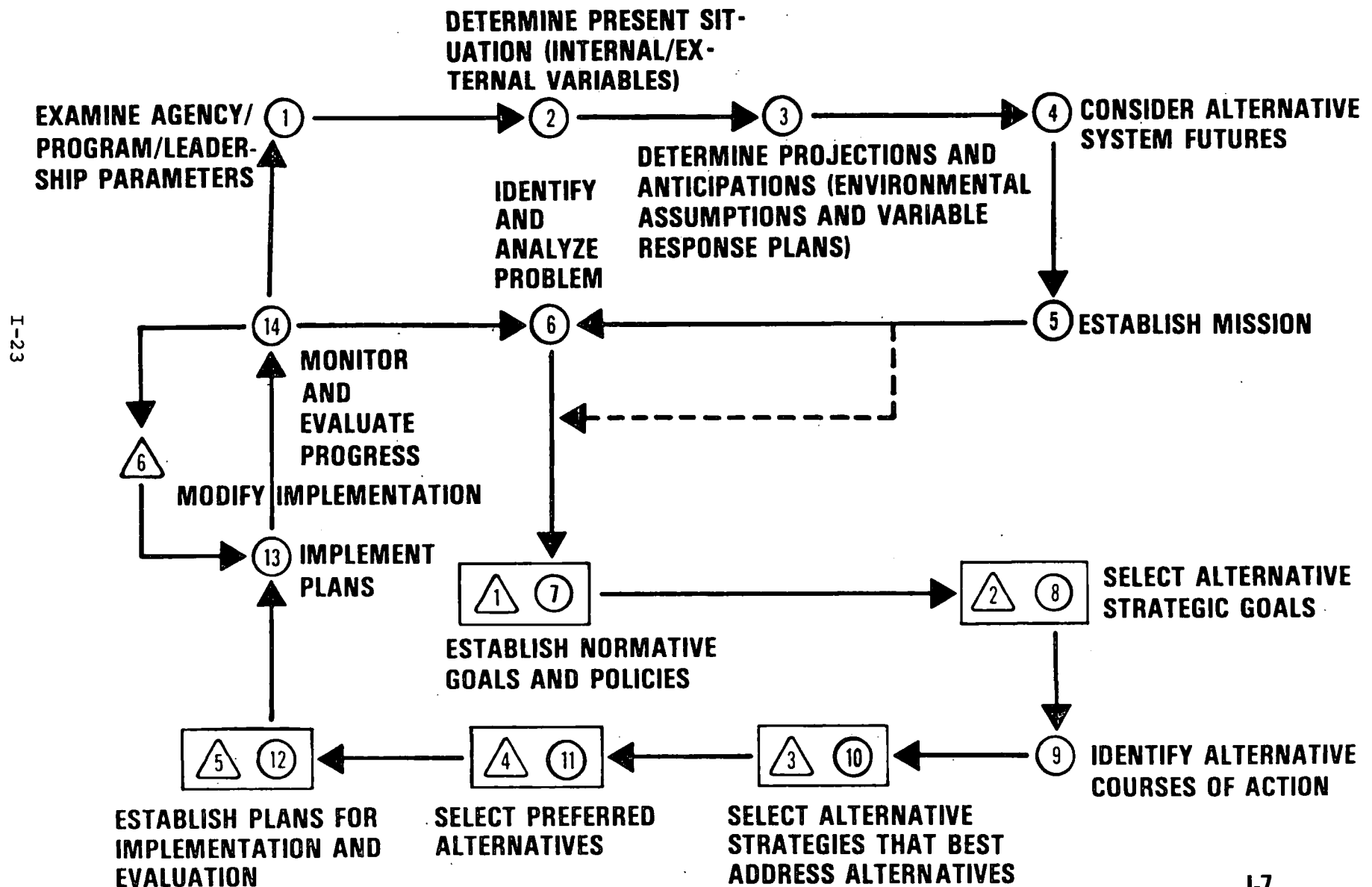
*Display Visual 1-6*

*Display Visual 1-7.  
The instructor*

# GENERAL PLANNING PROCESS MODEL



# MANAGEMENT PROCESS



## LECTURE NOTES

schematically represent the flow of the management process. The circles on the chart represent the major steps administrators take as they perform the management function. The triangles represent the major decision points in the process. This course will focus on these major decision points. By the end of the course, several decision packages will be available to aid the manager in decisionmaking.

The decision points<sup>1</sup> can be used to relate the Management Process Chart back to the General Planning Process Model.

Visual 1-7A depicts the General Planning Process Model and the relationship of that model to the Management Process Chart. The triangles in Visual 1-7A show where the decision points from the Management Process Chart fit into the General Planning Process Model. For example, the "Establishment of Normative Goals" (Decision Point 1) occurs in the General Planning Process Model after the "Identification and Analysis of Problems" and before "Goal Setting". Each decision point on the Management Process Chart has a definite relationship back to the General Planning Process Model.

### V. THE THREE ROLES OF THE CRIMINAL JUSTICE ADMINISTRATOR

As an introduction to the explanation of the three roles of criminal justice administrators, emphasize that the extent to which an individual administrator plays each of the three roles is dependent upon the organization and political environment in which that administrator works. Despite the varying emphasis that may be placed on different roles from jurisdiction to jurisdiction, each criminal justice administrator functions

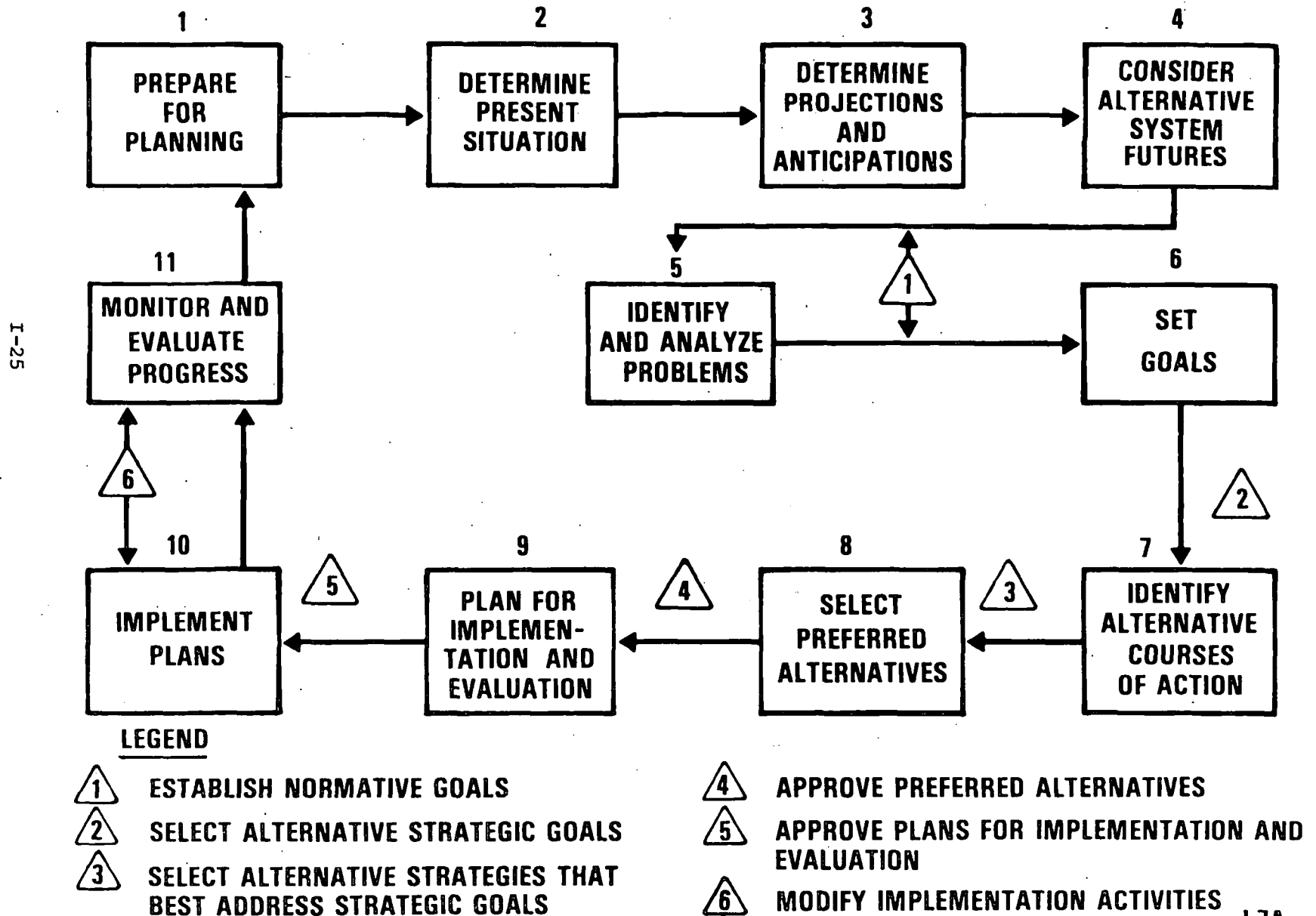
#### Key Points and Comments

*should go through and briefly describe each point on the chart. This visual is also prepared as a wall chart, and should be prominently displayed and referred to as the course progresses.*

*Display Visual 1-7A*

*Step 1 on the Management Process Chart.*

# DEVELOPMENT AND MANAGEMENT DECISION POINTS AND THE GPPM



## LECTURE NOTES

in one of these three roles at any given time depending upon the objective of the activity in which the administrator is involved.

### A. Director of an Organizational Unit

Within the organization in which they are employed, criminal justice administrators are responsible for managing an agency, division, or some other distinct organizational sub-division. In performing this role criminal justice administrators exercise the direct line authority and control traditionally associated with the management function. In other words, among other things they can assign various responsibilities to their subordinates and hold them directly accountable to them for successfully performing those assigned responsibilities.

### B. Manager of Programs

As defined in the Glossary, a program "...is a set of related efforts, under a common, general authority which is designed to address a particular problem". The program may be one type of project in several locations or a group of related projects. One of the unique roles of criminal justice administrators is "managing" programs over which they have limited authority. For example, a criminal justice administrator in a State Planning Agency may have the responsibility for managing a statewide crime prevention program. The program itself might consist of 20 distinct projects under the direct day-to-day supervision of twenty different police and sheriffs' departments across the state. In "managing" this program, the criminal justice administrator would not exercise the direct types of traditional managerial

## Key Points and Comments

*Director of an Organizational Unit:  
Direct line authority.*

*Manager of Programs:  
Limited managerial authority.*

authority, i.e., hiring, firing, and so on. The administrator would, however, perform major managerial responsibilities in such areas as insuring that the initial planning prior to project funding was sound and consistent with overall program goals. The administrator would also be involved in utilizing the results of the ongoing monitoring and evaluation of individual projects to provide assistance to project personnel in insuring that the project achieved the objectives for which it was created. The criminal justice administrator would thus play a crucial role in the overall management of the project(s) included in the program for which that administrator is responsible. Throughout the administration of a project in the program area, the criminal justice administrator might also become involved in providing technical assistance -- either directly or through subordinate staff members -- to the implementing agency. The level of the administrator's involvement in this respect is determined for the most part by the need of the agency and the criminal justice administrator's credibility with that agency, factors that will be discussed in great detail throughout the course.

C. Leader in the Criminal Justice System

One of the key roles played by criminal justice administrators is in impacting agencies and activities within the criminal justice system over which they exercise no authority. In the case of other criminal justice agencies, this impact may occur as the result of technical assistance provided upon request from the agencies by the criminal justice administrator or the administrator's subordinates, or through the personal influence the criminal justice administrator might have

## LECTURE NOTES

Key Points and Comments
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on personnel of other agencies as a result of the credibility that administrator has established within the system. In the latter case, criminal justice administrators can from time to time have a positive impact on activities of importance to the criminal justice system, e.g., by providing input in the formulation of new legislation concerning areas of interest to the criminal justice system. Due to the positions they hold, criminal justice administrators may also impact activities or relevance to the system by participating on various advisory boards, delivering public addresses on issues related to criminal justice, and so on. In performing these and other similar tasks, criminal justice administrators play a vital leadership role within the system and the community.

### VI. MANAGEMENT RESPONSIBILITIES OF THE CRIMINAL JUSTICE ADMINISTRATOR

#### A. Introduction

In performing the three roles described above, the criminal justice administrator fulfills three basic responsibilities: planning, organizing and controlling.

#### Definitions

1.. Planning: The orderly, systematic, and continuous process of bringing anticipations of the future to bear on current decision-making. A product of planning is a document detailing the results that an agency, division, etc. is going to pursue.



## LECTURE NOTES

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

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

The focus of these three responsibilities is the achievement of results, which is the manager's central concern.

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

In performing each of the three distinct roles previously described, criminal justice administrators are involved in planning, organizing and controlling. The three activities vary from role to role, however, and have a distinctly different focus in each.

#### 1. Director of an Organizational Unit

In this role, the criminal justice administrator performs the three basic responsibilities in the following context:

- a. Planning for optimum organization performance;
- b. Organizing to create an organizational framework and environment best equipped to achieve agency objectives; and
- c. Controlling to insure that agency objectives are achieved.

#### 2. Manager of Programs

- a. Planning for positive programmatic impact;
- b. Organizing to develop a capacity in external agencies to successfully implement criminal justice programs;

## Key Points and Comments

Refer to Visual 1-8

Use the information in 1, 2 and 3 and Visual 1-8

# MANAGEMENT RESPONSIBILITIES OF THE CRIMINAL JUSTICE ADMINISTRATOR

ROLE RESPONSIBILITY	DIRECTOR OF ORGANIZATIONAL UNIT	MANAGER OF PROGRAMS	LEADER IN CJ SYSTEM
PLANNING	OPTIMUM ORGANI- ZATIONAL PERFOR- MANCE	POSITIVE PROGRAM- MATIC IMPACT	CONSTRUCTIVE INFLUENCE
ORGANIZING	CREATE ORGANI- ZATIONAL FRAME- WORK AND ENVIRON- MENT BEST EQUIPPED TO ACHIEVE OBJEC- TIVES	DEVELOP CAPACITY IN EXTERNAL AGENCIES TO SUCCESSFULLY IMPLEMENT PROGRAMS/PROJECTS	PROFESSIONAL GROUPS, CONSTITUENCIES, PR EFFORTS, ADVOCACY ACT- IVITIES, ETC., REQUIRED TO CONTRIBUTE TO SUBSTANTIVE CHANGE IN CJ SYSTEM
CONTROLLING	INSURE OBJECTIVES ARE ACHIEVED	INSURE PROGRAM OBJECTIVES ARE ACHIEVED  INSURE TA IS PROPERLY PROVIDED	EVALUATE IMPACT OF AGENCY ON ITS ENVIRONMENTS AND VICE VERSA

I-30

## LECTURE NOTES

### Key Points and Comments

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

#### 3. Leader in the Criminal Justice System

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

##### b. Organizing

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

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

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

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

c. Controlling to evaluate the impact of the criminal justice agency or organizational unit on its environments and vice versa.

#### 4. Summation of Previous Points

a. Point out how the various functions performed by the criminal justice administrator in each of the three roles can potentially impact activities in the other two roles. For example, a decision made by a criminal justice administrator to perform an extensive

*Emphasize that no role exists in a "vacuum." Refer to wall display of Course Theme. Remind*

## LECTURE NOTES

evaluation (controlling of a program over which that administrator exercised limited authority) could conceivably result in the administrator reassigning members from the administrator's own staff (organizing) to assist in implementing the evaluation plan.

b. Also point out how each role can impact on the other two. For example, in serving as director of an organizational unit or as a manager of programs, the criminal justice administrator may identify changes that need to be made in areas of law, policies and procedures, and so on, over which the administrator has no authority. The identification of these needed changes becomes direct input into determining some of the activities that the administrator may undertake as a leader in the criminal justice system. For example, serving as a manager of a crime prevention program might alert the criminal justice administrator to the need for establishment of a victim compensation program. The administrator might then choose to undertake advocacy of establishment of a victim compensation program as a part of fulfilling the role of a leader in the criminal justice system.

c. The interrelationship of the three roles will surface again and again as we discuss the various planning, organizing and controlling activities in which criminal justice administrators participate.

### Key Points and Comments

participants of the  
passage that reads  
as follows:  
" .... They frequently  
move, imperceptibly,  
from one role to another".

## LECTURE NOTES

### VII. POWER AND THE CRIMINAL JUSTICE ADMINISTRATOR

As criminal justice administrators perform the functions described in the Management Process, they choose, depending upon availability, to use different types and sources of power. In order to better understand how the administrator makes the different decisions and performs the various tasks described by the Management Process Chart, it is important to understand the various types and sources of power a given administrator may or may not have at this or her disposal at any given time.

#### A. Types of Power

The criminal justice administrator can utilize five distinct types of power in performing the roles and responsibilities described earlier.

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

#### Key Points and Comments

The instructor might point out that power can be defined as the "ability to do, act, or produce". Given this definition it is easy to see the importance of power to the criminal justice administrator. Regardless of the administrator's role, he or she is required to do, act, or produce. This discussion will center on the types of power available:

1. Reward
2. Coercive
3. Legitimate
4. Referent
5. Expert

#### Examples of Reward Power

- a. Promotion
- b. Merit bonuses for outstanding performance
- c. Public recognition for a job well-done

## LECTURE NOTES

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

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

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

Key Points and Comments
d. Recommendation that a project be funded
<u>Examples of Coercive Power:</u>
a. Firing or demotion
b. Recommendation that a project not be funded
<u>Examples of Legitimate Power:</u>
Employees' willingness to implement a decision made by their superior with which they may not agree, but which they implement anyway because they sincerely believe it was the manager's "right" to make that decision.
<u>Example of Referent Power:</u>
A chief of police exercises referent power when the chief's subordinates loyally implement the chief's policies

## LECTURE NOTES

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

X

### B. Sources of Power\*

The five types of power described above can come from two basic sources:

1. Ascribed power is possessed by a manager or leader by virtue of the position(s) that individual holds. For example, power of an SPA director to hire or fire a subordinate is "ascribed".

\* From R.P. French and Bertram Raven, "The Bases of Social Power," in Darwin Cortwright and A.F. Zander, eds., Group Dynamics, 2nd edition; (Evanston, Ill.; Row, Peterson and Company, 1960, pp. 607-23)

### Key Points and Comments

because they identify with and support the chief's philosophy concerning "the role of law enforcement in twentieth century America"

#### Example of Expert Power:

A respected criminal justice official whose advice and technical assistance is often sought by others is exercising "expert power" when the official's input influences the actions of those who seek the official's help.

#### Sources of Power:

1. Ascribed
2. Achieved

## LECTURE NOTES

### Key Points and Comments

2. Achieved power is possessed by a manager or leader by virtue of the personal respect and deference that individual receives from others based on any past performance, activities and accomplishments. For example, "achieved" power is exercised by a program manager when that manager participates in developing a research and planning office in a police agency at the request of a police chief who respects the manager's advice.

3. Types of Ascribed Power are as follows:

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

4. Types of Achieved Power are as follows:

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

It is important to note that legitimate power may be both ascribed and achieved; thus, it may be gained, but also lost. The way in which the various types of power are actually used will depend on the credibility of the power holder, on his or her personality, and on the situation.

At this point the Instructor should refer the participant to Visual 1-9 and go through where each role of the Criminal Justice Administrator falls in terms of both type and source of power and then availability and utility. The Instructor should then make the point that the case study episode that follows



# SOURCES OF POWER AND THE ROLES OF THE CRIMINAL JUSTICE ADMINISTRATOR

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

I-37

## LECTURE NOTES

### Key Points and Comments

will give the participants the opportunity to examine the types and sources of power available to Parfitt as he plays the various roles of a criminal justice administrator.

### CASE STUDY EPISODE ONE

At the beginning of the Course it was pointed out that a Case Study would be presented in an "episodic" format throughout the course to reinforce and highlight important points made in the lectures and other exercises. Episode One will occur at this point. Some episodes of the Case Study will be completed as "Individual Desk Exercises"; other episodes will be completed in work groups. This first episode will be completed as a work group exercise. Before proceeding with the administration of Episode One, please present the following introduction to the Case Study:

#### A. Introduction

The everyday world of criminal justice administrators is quite a contrast to the average classroom setting in which they are taught how to be more effective in their jobs. The tasks they perform are usually multi-faceted and quite complex. The situations they confront are seldom as simple and clear-cut as one would desire. Often irrational, subjective factors have a tremendous impact on the actions of criminal justice administrators, despite their most conscientious efforts to create a rational, objective approach to performing

## LECTURE NOTES

their responsibilities. This course attempts to teach criminal justice administrators how to cope more successfully with this complex environment. Inevitably, most of the management techniques taught in such a course will appear somewhat simplistic when initially addressed in the classroom setting. This case study is therefore intended to more closely approximate the diverse and frequently complicated milieu in which criminal justice administrators operate. In this context, the potential utility of the concepts and techniques presented in the course will be demonstrated and/or reinforced.

The setting for the case study is Gotham City and Payneless County, which are located in the State of Misery. Gotham City is the county seat of Payneless County, and is in fact the only incorporated jurisdiction in the county. Gotham City has a population of 100,210. Payneless County, whose unincorporated area outside Gotham City serves, to a great extent, as a sprawling "bedroom community" for Gotham City, has a population of just over a quarter of a million. The focus of the case study is the criminal justice planning agency that operates in Gotham City and Payneless County. This planning agency is beset by many of the same problems that affect other criminal justice planning agencies: a rapid increase in crime, vicious local politics, and a certain degree of intra-organizational strife. The case study will follow this planning agency from the demise of one director through the installation and first year of a new director. During this period, both directors will encounter the challenges and perils inherent in performing the three roles of the criminal justice administrator that are addressed in this course.

Key Points and Comments
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## LECTURE NOTES

Key Points and Comments
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Course participants will share the "trials and tribulations" of the two directors. In the core exercises of the case study participants will directly apply the concepts and techniques taught in the course to analyzing and formulating ways for dealing with the various situations in which the directors find themselves. In Episode One, emphasis will be on the application of information concerning the key concepts of "roles" and "power".

### B. Administration

1. After presenting the Introduction, pass out the materials needed to do the exercises in Episode One.
2. Instruct participants to read the instructions provided for Episode One.
3. Call for and respond to questions concerning the instructions.
4. Following responses to questions, the work groups should adjourn to their assigned deliberation areas or "break-out" rooms and complete the exercise as instructed.

### Facilitator Note:

The groups will be required to have a spokesperson each time they report back to the large group. It may speed up the process in the small group if the facilitator suggests a method, perhaps alphabetically, for choosing a spokesperson. That way the group can immediately recognize and proceed with its leader each time it convenes.

CASE STUDY

EPISODE ONE

Life as a Criminal Justice Administrator

Objectives:

At the completion of Episode One, participants should be able to:

1. Identify, in execution, the Three Roles of the Criminal Justice Administrator.
2. Describe the Types and Sources of Power Available to the Criminal Justice Administrator in this episode.

EPISODE ONE:

INSTRUCTIONS

Please read the excerpts from the Gotham Gazette. Based on the information provided in these excerpts, answer the following questions:

1. How do the described actions of the Director reflect the three roles of the criminal justice administrator?
2. What types and sources of power did Parfitt use or try to use as he attempted to play these roles?
3. Please use the format on the participant response sheet provided for you with your Episode One package.
4. Each group should summarize its responses on the chart paper provided in its "break-out" room.

EPISODE ONE

Participant Response Sheet

Action of  
Administrator

Role

Classification of Power  
Type                      Source

## KEY DEFINITIONS

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

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

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

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

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

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

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



CASE STUDY CAST OF CHARACTERS

Harold Parfitt	Old Director, Gotham City Criminal Justice Planning Agency
Edward E. Flood	Mayor, Gotham City
Virgil Voyles	New Director, Gotham City Criminal Justice Planning Agency
Juanita Johannsen	District Attorney, Payneless County
Richard Williams	Planning Agency Staff Member
Steven Starr	Planning Agency Staff Member
Ed Chism	Planning Agency Staff Member
Sally Harrison	Planning Agency Staff Member
Tod Arnold	Planning Agency Staff Member
Rod Brayton	Planning Agency Staff Member
Dave Konawicz	Planning Agency Staff Member
Jerry Travers	Planning Agency Staff Member
Fred Nicolaison	County Manager, Payneless County
Bill Stewart	President, Gotham City Mer- chants' Association

# Gotham Gazette

October 31, 1978

(Reprint)

## CJ PLANNING DIRECTOR PRAISED

CS 1-6

Gotham City - Bill Kessler, Director of the State of Misery Criminal Justice Planning Agency, praised Gotham City Criminal Justice Planning Agency Director Harold Parfitt today for "... outstanding accomplishments in forging a comprehensive program to assist parolees and probationers in achieving crime-free lives in the community". Kessler added that the Societal Adjustment Program was receiving national attention as a potential model for other state and local jurisdictions.

The Societal Adjustment Program (S.A.P.) involves a series of interrelated projects all designed to assist probationers and parolees make successful adjustments in the free community. A unique feature of the S.A.P. is that it extends far beyond the traditional approach to this problem. S.A.P. is not restricted to the County Probation and Parole Department. Instead, a broad range

of agencies and individuals are involved in the effort, including local police, courts, civic clubs, churches and concerned citizens. The overall thrust of the program is to enlist a broad spectrum of the Gotham City community in the attempt to reduce the alarming recidivist rate in this area.

Kessler praised Parfitt for "... demonstrating outstanding leadership in pulling together a diverse range of people and agencies in a unified effort to solve a serious community problem". He concluded that Gotham City should indeed be proud of Parfitt's, and its own, accomplishments in this important area.

# Gotham Gazette

December 10, 1978  
(Reprint)

## FLOOD OVERRULES PARFITT

Gotham City - Mayor Ed Flood today re-instated Rod Brayton as Assistant Director for Grants Management in the Gotham City Criminal Justice Planning Agency. In doing so the Mayor overruled the decision of Planning Agency Director Harold Parfitt to dismiss Brayton.

CS 1-7  
Parfitt dismissed Brayton on November 15, 1978. According to Parfitt he had offered Brayton the opportunity to resign but Brayton had refused. Parfitt had cited "irreconcilable differences" with Brayton as the reason for dismissal. The key issue in the dispute appeared to be Parfitt's interest in increasing the "programmatic" assessment of the projects funded by the Planning Agency. Brayton allegedly pointedly told Parfitt that in his opinion it would be impossible to ever really show one way or another whether the money the Planning Agency spends on projects makes any difference. He argued that strict fiscal

monitoring would at least insure that the money was spent honestly.

The controversy over the Brayton dismissal is not likely to end with the Mayor's reinstatement of Brayton. Key members of the Planning Agency Advisory Board, including District Attorney Juanita Johannsen, have publicly supported Brayton's ouster. They allege that the Mayor's move to reinstate Brayton is motivated more by political than professional considerations. Brayton, a long time political operative, was finance manager in Flood's successful Mayoral campaign.

# Gotham Gazette

March 9, 1979

(Reprint)

## PARFITT DISMISSED

Gotham City - Mayor Ed Flood dismissed Harold Parfitt yesterday as Director of the Gotham City Criminal Justice Planning Agency. In a tersely worded statement, the Mayor stated that "Mr. Parfitt has repeatedly been disloyal to me and I am no longer able to work productively with him".

CS  
1-  
8

The Mayor's move culminated almost a year of tension and skirmishes between the two men. The "straw that broke the camel's back" in this instance apparently was the Director's public endorsement of the proposed public opinion survey and victimization study. His political opponents charged that the Mayor's opposition was merely a manifestation of his "political insecurity". They suggested that the survey and study might produce results that would be damaging to the Mayor's re-election bid in 1980. Parfitt had argued and an overwhelming majority of the Planning Agency Advisory Board

agreed that the survey and study would provide critically needed information the Planning Agency and the local criminal justice agencies required to effectively plan to deal with the alarming increase in crime.

Parfitt's dismissal was greeted with regret and in some cases indignation by prominent local criminal justice administrators. One key Gotham City criminal justice administrator, who asked to remain anonymous, praised Parfitt as a truly competent professional who had won the respect of the entire criminal justice community.

District Attorney Juanita Johannsen, who is rumored to be planning a run against the Mayor in 1980, also attacked the dismissal of Parfitt. "This is just another example of the Mayor interjecting politics into the administration of justice. I don't

believe the people of Gotham City will forget this outrage when they go to the polls next year. Harold Parfitt has established himself as a leader in our criminal justice community. I'm sure I speak for most of the Advisory Board members when I praise the contributions he has made to helping us improve our criminal justice system."

Parfitt could not be reached for comment.

## EPISODE ONE: DEBRIEFING

Following the period allowed for this exercise, the instructor should ask the participants to volunteer their answers to the questions raised in Episode One. The instructor may need to call on a participant to begin to generate responses. It is very important not to allow a few vocal participants to do all the responding. The instructors should be aware of who is answering the questions during the desk exercise de-briefing and try to encourage all the participants to respond.

A completed copy of the Episode One participant sheet is included in this Instructor Guide.

To conclude the debriefing, the instructor may refer participants back to Visual 1-9.

# EPISODE ONE: PARTICIPANT RESPONSES

<u>Action of Director</u>	<u>Role</u>	<u>Type of Power</u>	<u>Source of Power</u>
1. Parfitt instituting Societal Adjustment Program	Manager of Programs	Reward, Legitimate, Referent, Expert	Ascribed and Achieved
2. Parfitt dismissal of Brayton	Director of Unit	Legitimate	Ascribed
3. Parfitt endorsement of public opinion and victimization survey	Leader in System	Legitimate, Referent, Expert	Achieved

In acting as a program manager and leader in the criminal justice system, Parfitt appears to have a great deal of achieved power at his disposal. His relative success in both these areas is indicative of the power and influence he has earned.

Acting as the director of his own organizational unit, however, Parfitt seems to be sorely lacking the ability to exercise the ascribed power that normally goes with such a position. He simply does not have sufficient authority to hire and fire subordinates.

# SOURCES OF POWER AND THE ROLES OF THE CRIMINAL JUSTICE ADMINISTRATOR

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

I-43

Finally, the instructor should note that this Episode served as an introduction to the Case Study by imparting a certain amount of information about the Gotham City Criminal Justice Agency and the environment in which it functions. In essence, given this information, you would be able to perform Step One on the Management Process Chart -- "Examine Agency/Program/Leadership Parameters". (The Instructor should refer to Point One on the Chart). For example, the situation that evolved between Flood and Parfitt over the Brayton dismissal underscores the parameters in which the Director of the Planning Agency functions. Furthermore, the fact that Parfitt took a leadership stand on the S.A.P. and Victimization Survey sets a precedent for the Director of the Planning Agency's role in the criminal justice system. Certainly, all of the factors that would normally be included in Step One of the Management Process are not known about this particular agency. For instance, in conducting Step One, a manager would also be interested in the legal parameters -- local, state, and federal -- within which the agency operates. However, the Episode does provide the type of information one would take into consideration in "Examining Agency/Program/Leadership Parameters".

At the completion of this debriefing, the Instructor may wish to hand out the materials for Case Study Episode Two so that the participants can read them ahead of time.



## LECTURE NOTES

### VIII. CONCLUSION

The instructor should re-emphasize the following points:

A. The Management Process Chart serves as the schematic guide for the course. It highlights the major steps and decision points in the Management Process. Furthermore, it is consistent with the General Planning Process Model that serves as the framework for the other LEAA Courses of Planning, Analysis, Program Development, and Evaluation.

B. This course will discuss the criminal justice administrator in terms of three specific roles that the administrator performs.

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

C. Criminal justice administrators in each of these three roles perform three management responsibilities:

1. Planning
2. Organizing
3. Controlling

These three responsibilities will be the major topics of the remaining three modules. Within each of these modules, the course will address both "conceptual" managerial tasks and "interpersonal" managerial tasks.

D. Finally, 5 types of power were introduced:

1. Reward
2. Coercive
3. Legitimate
4. Referent
5. Expert

### Key Points and Comments

*The Instructor should use the Management Process Chart as the conclusion is delivered.*

## LECTURE NOTES

Key Points and Comments
----------------------------

and 2 sources of power were introduced:

1. Ascribed
2. Achieved

It was explained that at any point on the Management Process Chart the administrator may use, depending upon availability, one of these 5 types of power. Understanding these 5 types of power & their sources provides the criminal justice administrator with a conceptual framework within which to perform the three managerial responsibilities.

## MODULE ONE TEXT

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

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

### Annotated Bibliography

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

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

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

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

3. Title: Changing Police Leadership - Reactive to Anticipatory, Top to Bottom

Author: D.T. Shanahan

Source: Tenth Annual Interagency Workshop-Proceedings, 1975, p. 117

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

4. Title: Management is Management is Management...(Or Is It?)

Author: Eleanor Laudicina

Source: Public Administration Review, March-April, 1978, pp. 193-196

This article reviews several major books that explore various public and private sector management approaches. The author describes several issues concerning the applicability of business management principles to government agencies, and reaches some interesting conclusions in this area. This examination provides an interesting framework for viewing the limitations of power in the roles of the criminal justice administrator.

5. Title: Changing Nature of Police Management - Theory in Transition

Author: K.R. McCreedy

Source: Sage Publications, Inc., 1978, p. 44

This work describes the management milieu of law enforcement. It discusses many of the concepts used in this course as they directly relate to law enforcement, especially those aspects of external and internal variable analysis. Police departments have traditionally adopted a paramilitary style of organization and management, and police managers have emerged because of operational crises rather than because of their managerial competence. There is a theoretical dilemma involved in the position of police manager -- they can be seen as public servants subject to political processes or as professional administrators. Variations of approaches to practical management problems arising from this dilemma are discussed. These include scientific management, human behavior management and the management principles approach, which are concerned respectively with individual actions, group dynamics and

and processes. Systems theory provides a broader perspective than any of these approaches since it is concerned with structural relationships and interdependence rather than with the attributes of a system's components. However, the manager's conception of the total system can be influenced by organizational aspects such as power, authority and responsibility, which are also discussed.

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

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

#### Resource Bibliography

- French, R.P. and Bertram Raven. "The Bases of Social Power", in Darwin Cartwright and A.F. Zander (eds.), Group Dynamics, 2nd Edition. Evanston, IL: Row, Peterson and Co., 1960
- Goldhamer, H. and E.A. Shils. "Types of Power and Status", American Journal of Sociology, 1939
- Kanter, R.M. and B.A. Stein (eds.), Life in Organizations. New York, NY: Basic Books, Inc., 1979.

- Laswell, H. D. and A. Kaplan, Power and Society: A Framework for Political Inquiry. New Haven: Yale University Press, 1950.
- Lippit, R. and N. Polansky., F. Redl and S. Rosen. "The Dynamics of Power." Human Relations, 5. (1952)
- Raven, B. R. and J.R.P. French, Jr., "Group Support, Legitimate Power and Social Influence." Journal of Personality, 26, 1958.





MODULE TWO

THE CRIMINAL JUSTICE ADMINISTRATOR

AND THE

PLANNING PROCESS



## MODULE TWO

### THE CRIMINAL JUSTICE ADMINISTRATOR AND THE PLANNING PROCESS

#### Module Overview

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

#### Learning Objectives

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

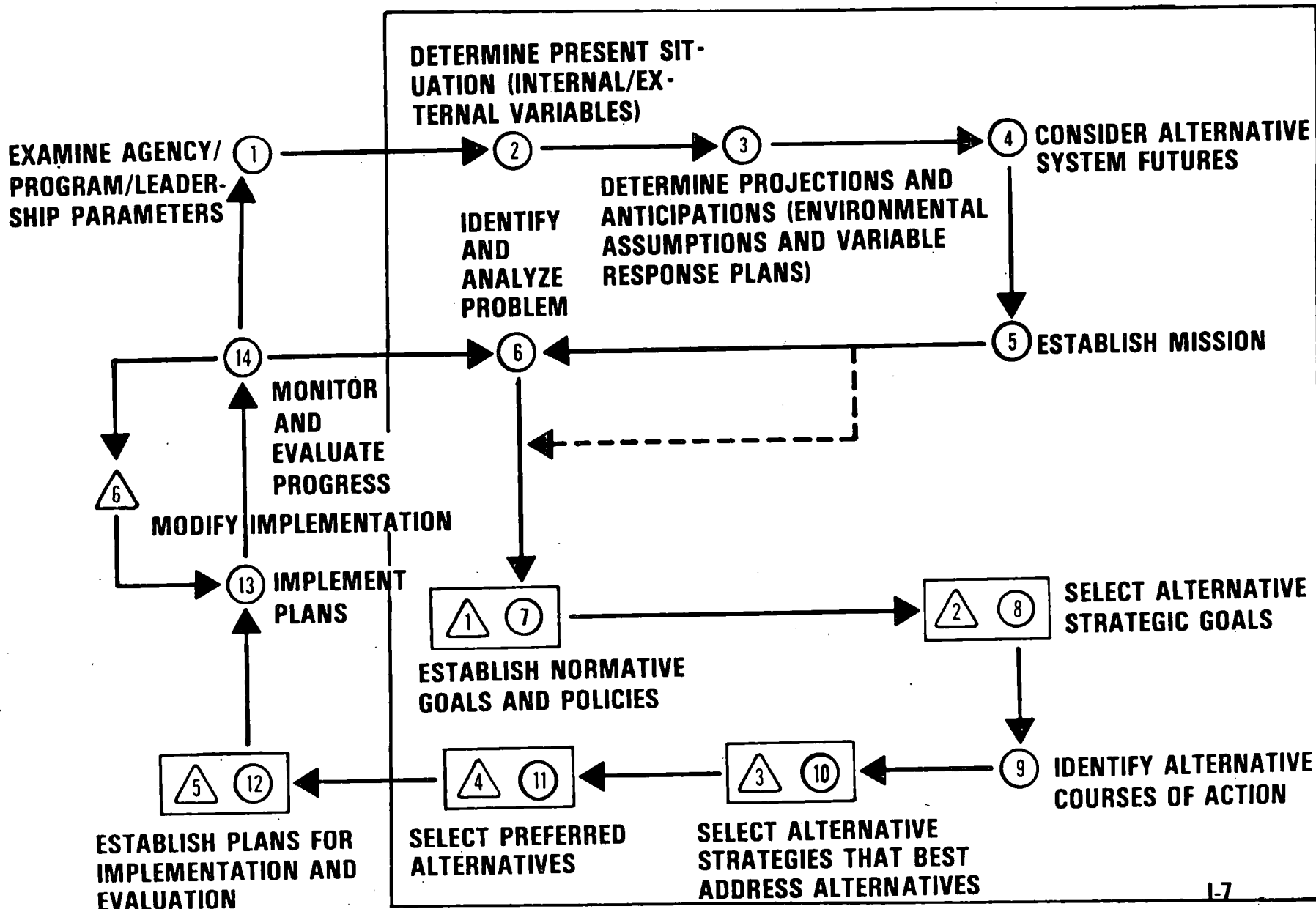
1. Explain how the levels of planning relate to the performance of the three roles of the criminal justice administrator.
2. Describe the involvement of the criminal justice administrator in Normative, Strategic, and Operational Planning and how all three levels relate to the criminal justice administrator's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

## Description

This Module consists of:

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

# MANAGEMENT PROCESS



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

## LECTURE NOTES

### Key Points and Comments

#### I. DEFINITIONS AND OVERVIEW

##### A. The Management Process

The basic task of managing is generally thought of as having 3 interlocking and interrelated components, namely: planning, organizing, and controlling. In the next three modules, we will discuss and describe these three components. Together, planning, organizing and controlling describe an orderly and systematic process of managing. In the other LEAA courses, many of the techniques and products used in one or several of these components have been taught. This course will not "re-teach" any of those techniques, but rather demonstrate an orderly process an administrator can follow to utilize these techniques and products as a part of an integrated framework.

The management process is actually a series of interrelated and interconnected decision points. In order to plan, organize, and control in an efficient and effective manner, there are a series of decisions a manager must make in a certain sequence. The Management Process Chart (Visual 1-7) that was introduced in Module One provides an overview of these decision points and the sequence in which they fall.

This module and the next two modules will explain exactly how a manager goes about making each of these decisions, what input they require and what outputs result from these decisions. In this context, this Module will describe how various "decision packages" can be used by the criminal justice administrator at key decision points in either making these decisions or making recommendations to an advisory board. A

*The instructor may wish to use the outline contained in the conclusion of this module as a means of introducing the module's content. The instructor*

## LECTURE NOTES

"decision package" is a format that is designed to structure informational input in such a manner that those types of information relevant to the decision in question are addressed. The format for decision packages can vary from agency to agency. The important aspect of them is the content they cover.

The first component of the management process is planning. Steps 1-11 on the Management Process Chart are actually part of the planning component. As we proceed through Module Two, we will discuss each of these steps and accompanying decision points in greater detail.

In Module One planning was defined as follows:

The orderly, systematic, and continuous process of bringing anticipations of the future to bear on current decision-making (refer to Visual 2-1). Some important characteristics of planning are presented below.

### B. Benefits of Planning

1. Planning is the process by which agencies, organizations, and individuals in the criminal justice system can more successfully achieve what they want to achieve.

### Key Points and Comments

should refer participants back to the Management Process Chart, Visual 1-7, and have them follow as the instructor identifies each step in the chart as it corresponds to the major topics to be presented.

The instructor should call special attention to Steps 7, 8, 10 and 11. These are the major points addressed in this Module.

Point out that the definition of planning used in this course is narrower in scope than the definition implied in the "General Planning Process Model."

The "GPPM" refers to the entire management process. Display Visual 2-1.

Emphasize that planning applies to individuals as well as organizations. As

# **PLANNING...**

II-6

**THE ORDERLY, SYSTEMATIC AND CONTINUOUS  
PROCESS OF BRINGING ANTICIPATIONS OF THE  
FUTURE TO BEAR ON CURRENT DECISION-MAKING**

**2-1**



## LECTURE NOTES

2. Planning provides a framework for identifying opportunities and allocating resources to capitalize on those opportunities.

3. Planning is not intended to eliminate risks. Risks almost always accompany efforts to create change, and as change agents criminal justice administrators must recognize that planning can greatly assist them in assuring that the right risks are taken at the right time.

4. Planning assists criminal justice administrators to insure that they are most effectively using their limited resources in efforts to achieve their most important objectives.

### Key Points and Comments

we will discuss later in this module, in performing the three roles, the criminal justice administrator at times has to become actively involved in individual as well as organizational planning.

In this era of "cut-back management," it is crucial that criminal justice administrators direct their resources toward achieving those objectives that are really important. Emphasize at this point that planning

## LECTURE NOTES

5. Planning is intended to minimize the number of crises which a criminal justice administrator must handle on an emergency basis. The focus is shifted from crisis solving to crisis prevention.

One of the most pervasive quotes found on the office walls of criminal justice administrators reads as follows: "It's difficult to remember your mission is to drain the swamps when you're up to your 'posterior' in alligators!" Planning helps the administrator to avoid many of the "alligators" that create the crises that consume so much of the administrator's valuable and limited time.

### C. Levels of Planning

Planning is the rational determination of (1) where you are, (2) where you want to go, and (3) how and when you are going to get there. In the overall context in which these determinations are made three distinct levels of planning occur. A general description of these levels is presented below.

#### 1. Normative Planning

Normative Planning answers the questions: "What should we do and why?" It serves as the point of departure for the other two levels of planning. It is primarily concerned with establishing a focus for organizational, programmatic or individual efforts, and elucidating policy guidelines. Toward these ends, Normative Planning requires:

### Key Points and Comments

is an important tool in doing this.

Point out that these definitions are consistent with those established in the Planning Course. Display Visual 2-2.

Refer participants to Management Process Chart as the three levels of planning are discussed showing where each level ties into the chart.

# LEVELS OF PLANNING

6-II

<u>LEVEL</u>	<u>MAJOR QUESTIONS</u>	<u>TIME FRAME</u>
NORMATIVE	WHAT SHOULD WE DO AND WHY?	LONG-TERM
STRATEGIC	WHAT CAN WE MAKE HAPPEN AND HOW?	MID-TERM
OPERATIONAL	WHAT WILL WE DO AND WHEN?	SHORT-TERM

## LECTURE NOTES

Key Points and Comments
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a. Analyzing the relative internal strengths and weaknesses of the organizational unit, program or individual in terms of achieving the stated purpose, and examining crime trends and other relevant forecasts of factors in the external environment that affect the chances of the organizational unit, program or individual to achieve the stated purpose.

b. Establishing a general statement or mission of the purpose to be achieved by the organizational unit, program or individual in question.

c. Normative Planning can be schematically depicted as follows:

(1) Situation Analysis

(a) Assessing External Variables

(b) Assessing Internal Variables

(c) Developing Environmental Assump-  
tions

(d) Variable Categorization

(e) Variable Response Plan

(2) Establishing a Focus

(a) Phase One: Establishing Organ-  
izational and Personal Missions

(b) Phase Two: Developing and  
Selecting Normative Goals

Thus, once the mission or general statement of purpose is developed, the process of normative goal development takes place. Oftentimes normative goals are already dictated by legislation or otherwise. However, when an organization does have the opportunity to develop normative goals, they are an outgrowth of the mission.

## 2. Strategic Planning

Strategic planning answers the question:

"What can we make happen and how?" It is concerned

## LECTURE NOTES

### Key Points and Comments

with the identification and evaluation of specific alternatives to achieve the general outcomes identified in Normative Planning and the development of appropriate programs and activities to accomplish those outcomes. Strategic Planning is generally done on a cyclical basis (e.g., every year), or it may be stimulated by some ad hoc development such as new legislation or an order from a superior to "cut back" agency operations.

#### 3. Operational Planning

Operational Planning is aimed at a shorter time horizon, usually one year, and is designed to answer the question: "What will we do and when?" Operational Planning is devoted to the detailed specification of the courses of action that will be pursued to implement the alternatives selected in the Strategic Planning Phase.

#### 4. Summary

Efficiently and effectively performing Normative, Strategic and Operational Planning is crucial to the on-going success of any criminal justice agency. Unfortunately, it is far easier to define these three levels of planning than it is to actually execute them. The processes by which each of these levels of planning are carried out usually are ill-defined or are complicated by multiple decision-makers. This is often the case with advisory boards, which may in some jurisdictions limit their involvement to decisions at the Normative level, while in other jurisdictions this involvement may extend to the Strategic and Operational levels.

Normative Goals are generally more constant while strategic and operational levels of planning are more flexible. The instructor should also emphasize the interrelatedness of the levels of planning.

## LECTURE NOTES

The following segment of this Module presents a logical process through which Normative, Strategic and Operational Planning can be conducted.

### II. THE SITUATION ANALYSIS: STEP ONE IN NORMATIVE PLANNING

#### A. Introduction

As stated earlier, planning is the rational determination of (1) where you are, (2) where you want to go, and (3) how and when you are going to get there.

The first step in Normative Planning, the Situation Analysis, addresses the first issue, i.e., where you are. As we just mentioned, the Situation Analysis is a five-step process:

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

Schematically, the five steps in the Situation Analysis appear as shown in Visual 2-3.

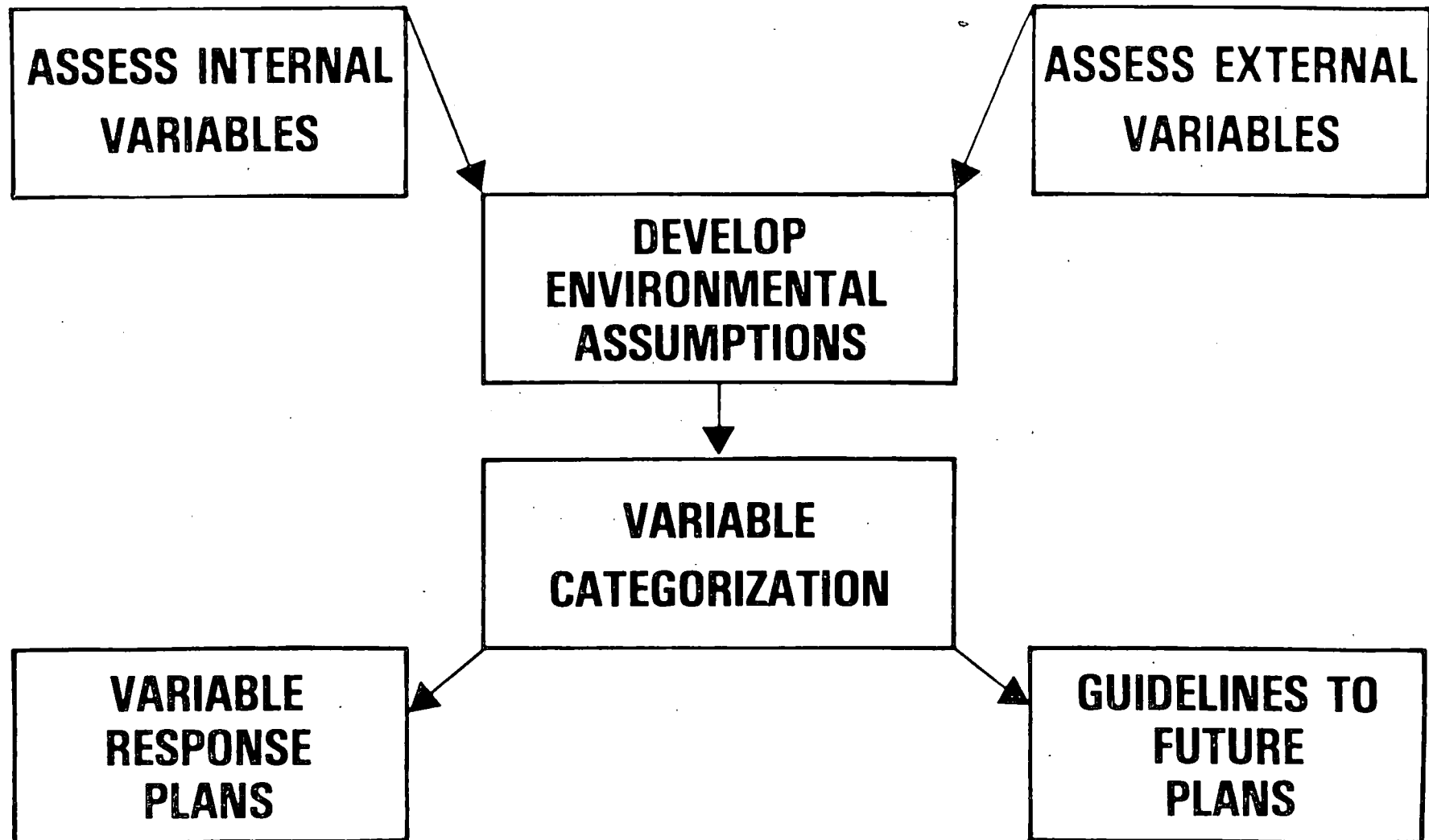
In the following segment of this Module a detailed explanation of each phase of the Situation Analysis is provided, as well as instruction in how each should be conducted by a criminal justice administrator. The explanation begins with a description of how internal variables are assessed, and then moves step-by-step through the stages shown in Visual 2-3. The discussion of the Situation Analysis culminates with and explanation of how the criminal justice administrator develops and utilizes Environmental Response Plans.

#### Key Points and Comments

Refer to Point 2 on the Management Process Chart.

The instructor should cover the Situation Analysis in sufficient detail to permit participants to complete the requirement in Case Study Episode Two as well as understand the overall process.

# SITUATION ANALYSIS



II-13

## LECTURE NOTES

### B. Assessing Internal Variables

In performing all three roles, criminal justice administrators must be acutely aware of the strengths and weaknesses of the resources at their disposal to achieve desired results. Some of the most important areas in which criminal justice administrators should assess strengths and weaknesses are presented below.

#### 1. Talent Constraints

Talent considerations are important to the criminal justice administrators in all three roles:

a. As directors of organizational units, they must be aware of the relative abilities of their subordinates to insure that the plan developed for a particular unit is either consistent with the skills of existing personnel or consistent with those possessed by existing personnel with additional training or bolstered by new personnel.

b. As managers of programs, they must have a working knowledge of the relevant strengths and weaknesses of personnel in the respective agencies that will administer the elements in their program areas. For example, a program manager in the juvenile justice area should be aware of whether or not any existing personnel in the juvenile justice agencies within the purview of this program manager have a background in community-based treatment facilities before beginning a major effort in that direction.

c. For a leader in the criminal justice system, the talent constraint may take one of two forms:

#### Key Points and Comments

*This will depend, in part, on participants' prior knowledge of the subject.*



## LECTURE NOTES

### Key Points and Comments

(1) If that individual is the leader in the context of an established group or organization, does that body have sufficient talent in its membership to achieve the desired results? or

(2) If acting alone, does that individual have the talent (including credibility) to achieve the desired results?

#### 2. Time Constraints

In performing any of the three roles, the criminal justice administrator must be sure that a realistic appraisal is made of that non-renewable resource known as time. Assessing time constraints in the respective roles entails answering some of the following questions:

##### a. As director of an organizational unit:

(1) Assuming agency personnel continue to perform those activities currently being performed, how much additional time is going to be available for new endeavors?

(2) Is "new time" going to be created by deleting or cutting back on existing activities or by adding new personnel?

##### b. As manager of a program:

(1) Is sufficient time available within the constraints of the grant funding cycle to implement projects that can reasonably attempt to address a new program concept?

(2) Can a project be expected to demonstrate a measurable impact during the first year of funding?

## LECTURE NOTES

c. As leader in the criminal justice system: X

Does the group (or the individual) have sufficient time (assuming that these activities are often "above and beyond the call of duty") to pursue desired results such as passage of a victim compensation bill, establishing a correctional volunteer program, etc.?

### 3. Fiscal Constraints

Numerous questions are posed by possible fiscal constraints on the roles performed by the criminal justice administrator. Among the most prominent are:

a. As director of an organizational unit:

(1) How much more money will be required next year to continue the existing level of services and activities?

(2) Are cutbacks in existing expenditure areas possible to free funds for new activities?

b. As a manager of programs:

(1) Are sufficient funds allocated to adequately test a program concept to see if it will really work?

(2) Are sufficient funds available to test more than one approach to addressing the same problem?

c. As a leader in the criminal justice system:

(1) Does the professional group have sufficient funds to underwrite an extensive advocacy effort?

Key Points and Comments
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## LECTURE NOTES

X2) Do I, as an individual, have sufficient financial resources to withstand a period of unemployment if I am fired for activities growing out of my leadership role?

### C. Assessing External Variables

In each of the roles performed by the criminal justice administrator there exist forces in the "environment" of that role which are beyond the direct control of the criminal justice administrator but which can exert a powerful influence over the success of any endeavors in that particular role. The criminal justice administrator must therefore be extremely vigilant in identifying, checking and preparing strategies for dealing with as many of these forces as possible. However, the process of identifying and attempting to deal with external variables can be a complex task. Each role has its own set of potential external variables, as will be shown in examples given below. Criminal justice administrators must carefully assess each of their role areas to determine the exact nature and potential impact of such variables. The following segment of this Module describes major types of external variables that generally impact criminal justice administrators. Please note the various ways the same variable can impact the different role areas.

#### 1. The Political Variable

Politics, both Big "P" and Little "p", are significant factors in each role played by the criminal justice administrator. Examples of political assessment questions that might arise in the respective role areas are as follows:

Key Points and Comments
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## LECTURE NOTES

Key Points and Comments
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a. Director of an organizational unit:

- (1) Will the legislature enact new law(s) restricting or increasing the mandates of my agency?
- (2) Will the incoming governor seek to change the role of my agency?

b. Manager of programs:

- (1) Will federal budgetary cutbacks lead to reductions in the funds available in my program area?
- (2) Will the growing public sentiment in favor of "law and order" make it more difficult to establish half-way houses in residential areas?
- (3) Will the new chief of police be favorably inclined to continue the innovative projects?

c. Leader in the criminal justice system:

Will involvement in quasi-political activities such as "informal briefings" of legislators on the implications of pending legislation for the criminal justice system place my job in jeopardy?

### 2. The Economic Variable

Every criminal justice administrator must attempt to assess the probable impact the economy will have on the various roles. Examples, by respective roles, of the potential impact of the economy are cited below:

a. Impact on director of an organizational unit:

- (1) Rising fuel costs lead to drastic cutbacks in agency travel.
- (2) Dwindling revenues result in a reduction in personnel

b. Impact on a manager of programs:

- (1) Reduction in the level of LEAA funding results in fewer projects being funded

## LECTURE NOTES

(2) Increased interest in probation as a cheaper alternative to incarceration results in state funding to continue the probation assistance projects begun with LEAA funds

c. Impact on a leader in the criminal justice system:

Economic constraints dim the possibility that the legislature will fund the desired victim compensation program.

### 3. Summary

The analysis of internal and external variables provides the criminal justice administrator with a rough outline of the forces he or she must confront in developing a relevant plan for the organizational unit in question. But merely identifying these variables is inadequate for planning purposes. In the section that follows, the step following variable identification is discussed.

#### D. Developing Environmental Assumptions

The primary focus of the Situation Analysis is to determine "what is" or "where we are now". As we have just discussed, the first two steps that help us to do this are to assess the Internal and External Variables. These assessments help us to define the broad parameters in which a criminal justice administrator must operate in an organization, program, or as an individual. In other words, these two assessment processes begin to define for us the limits within which the administrator must function. These assessments are, however, at this stage really too broad to have a great deal of practical utility in the planning process. The next step in the Situation Analysis, Developing Environmental Assumptions, helps us give these assessments more practical utility.

#### Key Points and Comments

*Most administrators just talk about the environment; Environmental Assumptions are a tool for logically describing both the internal and external environments.*

## LECTURE NOTES

Key Points and Comments
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For each internal and external variable that is identified as having a potentially strong impact -- either positive or negative -- on activities or events in one of the roles during the period for which planning is being done, the criminal justice administrator should develop an "environmental assumption statement". An environmental assumption is a "guesstimate", or best guess, about the exact impact an important environmental variable will have either on an agency or program or intended activities in the criminal justice system leadership area. Not every internal or external variable will necessarily be "fleshed out" into an Environmental Assumption statement, but only those variables that in the administrator's judgment will have a real impact on the agency, program, or individual activities during the planning period. Conversely, some internal and external variables may be perceived as having such a broad potential that they may be developed into several Environmental Assumption statements. The manner in which variables are translated into Environmental Assumptions will depend on the administrator's assessment of the particular situation.

## LECTURE NOTES

The format for writing an Environmental Assumption is as follows:

- They have a specific time frame
- They identify a measurable anticipated event

Examples of Environmental Assumptions in each of the three role areas of a criminal justice administrator are as follows:

1. Director of an organizational unit:

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

b. By September 30, 1980, dwindling state revenues will result in a 20% cut in agency appropriations that will cause a loss of 12 agency personnel for fiscal year 1980-1981.

2. Manager of programs:

a. By September, 1980, funds for correctional programs will be reduced by 25%, resulting in at least ten fewer correctional projects for Fiscal Year 1980-81.

b. By September 30, 1980, increased public interest in probation as a cheaper alternative to incarceration will result in the state legislature appropriating funds to continue as permanent state employees 150 assistant probation officers hired initially in LEAA projects.

3. Leader in the criminal justice system:

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

Key Points and Comments

The instructor may wish to have the participants formulate these examples by asking them what an Environmental Assumption would be for a Manager of Programs, faced with (1) 25% reduction in funds for corrections; and (2) an increase in public interest in probation as a cheaper alternative to incarceration. A specific variable may yield multiple assumptions, e.g., the economic variable.

## LECTURE NOTES

Second, the administrator will use the Environmental Assumptions as inputs in developing strategic and operational plans. Assumptions such as those presented above impact the area of "what can be done" addressed in Steps 8-11, and the criminal justice administrator should use the projections given in the assumptions during this phase.

To evaluate the accuracy of the Environmental Assumptions, the administrator will periodically monitor them. If the assumptions prove to be correct, the plan should prepare the administrator to cope as well as possible. If they prove to be incorrect, then the administrator must use this data to revise the plan in keeping with the newly defined "situation".

Once this step in the Situation Analysis has been completed, the criminal justice administrator has baseline data that will be used in the planning process. The Environmental Assumptions in essence define broad parameters for the agency, program, or individual activities because in some way each Assumption either limits or enhances the criminal justice administrator's performance of the three roles. The criminal justice administrator can use this baseline data in Steps 4-7 that follow.

### E. Variable Categorization

The next step in the Situation Analysis, step four -- Variable Categorization -- is a further refinement of the data that has been amassed, assessed, and developed into Environmental Assumptions. To conduct this step, the administrator

### Key Points and Comments

*Emphasize the critical need to monitor Environmental Assumptions on an on-going basis.*

*If questions arise, ask for examples of assumptions the participants might make and place the*



## LECTURE NOTES

looks at the assumptions developed for each of the three roles and, using the Variable Categorization Form, lists the assumptions over which the administrator does and does not have direct control. These assumptions are placed in the appropriate place in the form.

Let us take one variable through the steps we have outlined so far so we can see how the process fits together.

1. Variable

Low salaries for professional SPA personnel

2. Environmental Assumption

By July 1, 1980, low salaries for professional SPA personnel will result in all time high turnover rate of 40% for professional SPA personnel

3. Variable Categorization

Not under direct control of criminal justice administrator

### Key Points and Comments

assumptions in either of the two columns. Refer to the next page for the variable categorization format.

Point out that Variable Categorization reflects the varying types of power available to the criminal justice administrator in his or her three roles. For example, as the director of an organization unit the criminal justice administrator would usually have direct control over more variables than as leader in the criminal justice system.

VARIABLE CATEGORIZATION FORM

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

Assumptions Under Direct Control of  
Criminal Justice Administrator

Assumptions Not Under Direct Control  
of Criminal Justice Administrator

## LECTURE NOTES

Key Points and Comments
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### F. Variable Response Plans

The fifth and final step in the Situation Analysis component of the normative level of planning is the development of Variable Response Plans. Using the Variable Categorization Form, the administrator has listed assumptions over which that individual does and does not have direct control. Those assumptions which the administrator has identified as having control over are put aside and will be used later in the strategic and operational levels of planning. In essence, they represent things the administrator can plan for so they will be included in the later formulation of the plan. For example, assume that a "talent" environmental assumption for the director of an organizational unit (in this instance a correctional agency) reads as follows:

"By December 31, 1980, twelve agency employees will satisfactorily complete a six-week course in the effective management of community-based correctional facilities".

This assumption has important implications for the later formulation of the agency plan. The new skills possessed by the twelve can potentially broaden the range of strategic options available to the director. The timing of course completion, viz., December 31, 1980, also could impact the timing of the opening of new community-based facilities, assuming the trainees were to be involved in those new facilities. The other assumptions, those identified as not being directly controlled by the administrator, are the ones that we deal with in this step of the Situation Analysis.

## LECTURE NOTES

### Key Points and Comments

#### G. Summary

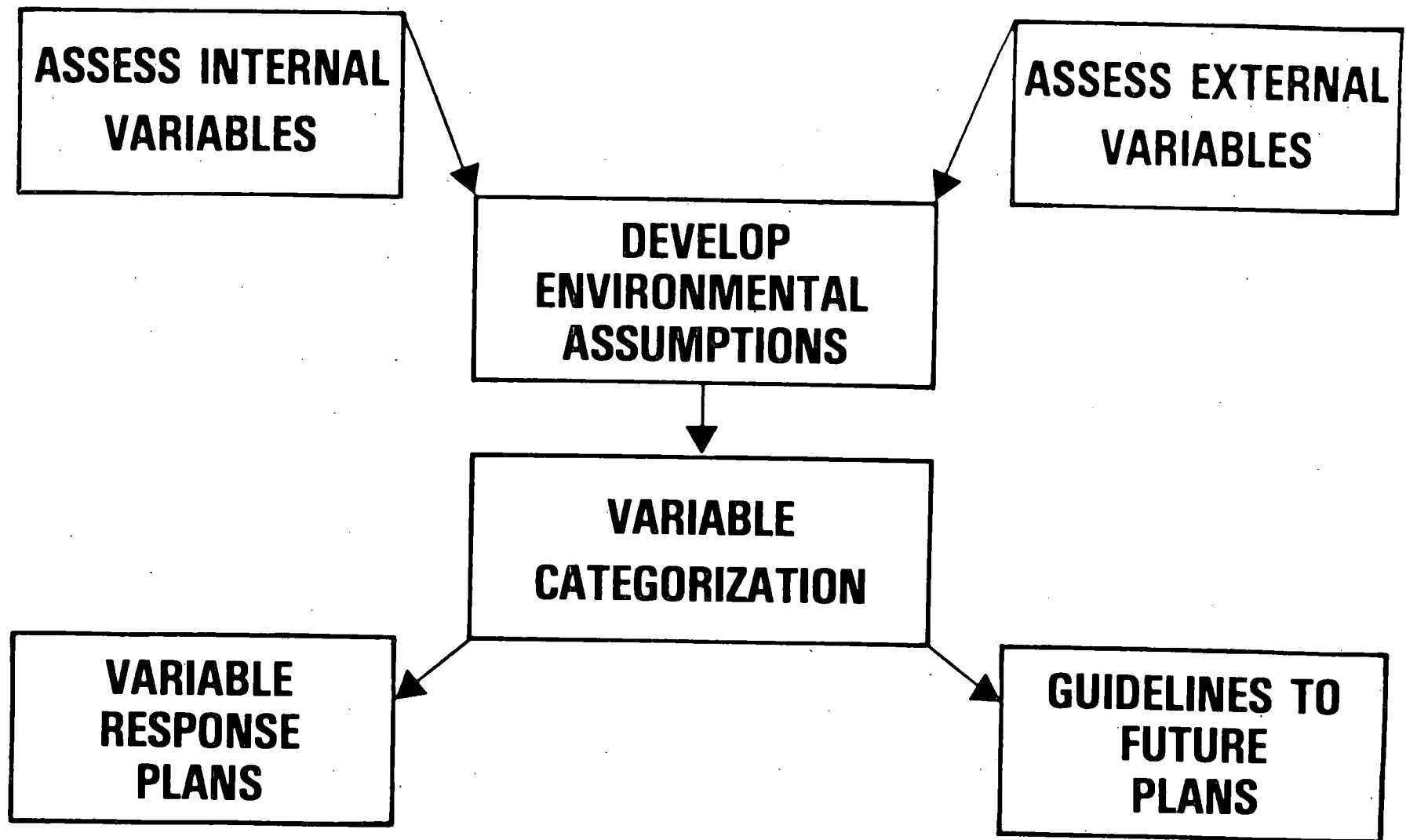
Using the Situation Analysis Chart, point out the logical flow of events in this component of the Normative Planning Level.

1. Assess External Variables
2. Assess Internal Variables
3. Develop Environmental Assumptions
4. Variable Categorization
5. Variable Response Plan

In the following Episode of the Case Study, the application of the first three steps in the Situation Analysis will be examined.

*Refer to Visual 2-3*

# SITUATION ANALYSIS



## LECTURE NOTES

Let us take the example of the low salaries for professional SPA personnel through this step to illustrate how it works.

### Key Points and Comments

*Refer to completed  
Variable Response  
Plan and describe  
each step.*

VARIABLE RESPONSE PLAN

Variable: Low salaries for professional SPA personnel

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

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

Go/No Go Date: 6/1/80

Implementation Decision: Go

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

## LECTURE NOTES

Key Points and Comments

Even though the administrator does not have direct control over certain assumptions, there are generally strategies that that individual can implement to help neutralize potentially damaging assumptions and help capitalize on potentially beneficial assumptions. For example, as a director of an organizational unit, an administrator might have identified legislative cutbacks in money as an assumption over which the administrator has no direct control. Even though this is the case, the administrator can develop a Variable Response Plan to neutralize or minimize the effects of this assumption by implementing a strategy of cutting any "fat" from existing programs and by conducting "advocacy/information" activities with key members of the legislature. A copy of the Variable Response Plan format is on the next page (Exhibit 2-1).



EXHIBIT 2-1

VARIABLE RESPONSE PLAN

Variable:

Strategy for Utilizing/Neutralizing:

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

Go/No Go      Date:

Implementation Decision:

Result:

## LECTURE NOTES

Key Points and Comments
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### CASE STUDY EPISODE TWO

#### A. Introduction

The first level of planning is the normative level. The first step in the normative level of planning is to conduct a Situation Analysis. The Situation Analysis, as was pointed out earlier, is a five-step process whereby the organization, group or individual conducting planning determines where it is in point of time and what trends or developments in the internal or external environments might materialize during the period in which the plan is being formulated. Furthermore, it determines how these trends or developments would impact, either positively or negatively, its successful completion. In other words, the Situation Analysis is conducted to help the organization define the parameters within which it has to work.

In order to better acquaint participants with how a Situation Analysis is actually conducted, they will now assess the situation described for the Gotham City Criminal Justice Planning Agency. This exercise is to be conducted in the designated work groups.

The work groups will be conducting the first three steps in the Situation Analysis: Assessing External and Internal Variables, and Developing Environmental Assumptions. Facilitators should have their work groups refer to Visual 2-3 while doing this Exercise to reinforce the Situation Analysis steps being completed and their relationship to the steps that follow that are not addressed in this Exercise.

## LECTURE NOTES

Key Points and Comments

### B. Administration

1. After presenting the Introduction, pass out the materials needed to do the exercises in Episode Two.
2. Instruct participants to read the instructions provided for Episode Two.
3. Call for and respond to questions concerning the instructions.
4. Have the participants break out into their work groups.
5. The facilitator should serve primarily as an observer in the group process for this Episode, clarifying technical questions when appropriate and keeping the process moving.



CASE STUDY

EPISODE TWO

Enter the New Director

Objectives:

At the completion of Episode Two, participants should be able to perform an assessment of External and Internal Variables and develop environmental assumptions, the first three steps in the Situation Analysis.

## EPISODE TWO:

### INSTRUCTIONS

The memoranda, letters and newspaper reprints contained in Episode One and on the following pages of Episode Two describe a certain organizational atmosphere. Both external and internal variables are impinging upon the situation that Director Voyles will find himself in as he assumes his new position. Once you have read the documents contained in Episode Two, your group should identify three of the major external and three of the major internal variables that are impinging upon the organization as Virgil Voyles assumes his new role. In addition, your work group should develop four Environmental Assumptions, two for external and two for internal variables. Please write your responses on the chart paper provided in your breakout rooms.

### Definitions

External Variables are forces in the external "environment" that are beyond the direct control of the criminal justice administrator but can exert a powerful influence over the success of any endeavors in that particular role. Examples of external variables are political and economic factors that are subject to vary or change.

Internal Variables are the strengths and weaknesses of the resources at the disposal of criminal justice administrators to achieve desired results. Examples of possible internal variables would be talent constraints, time constraints, and fiscal constraints.

Environmental Assumptions are "guesstimates", both measurable and time-specific, that describe the anticipated impact of an internal or external variable.

EPISODE TWO: PARTICIPANT WORKSHEET

A. External Variables

1.

2.

3.

B. Internal Variables

1.

2.

3.

C. Environmental Assumptions

1.

2.

3.

4.

# Gotham City

GOTHAM CITY  
100 CITY HALL  
GOTHAM CITY, MISERY 00007

EDWARD E. FLOOD,  
MAYOR

July 2, 1979

Virgil Voyles  
8002 Balboa Street  
Dade, Florida 38765

Dear Mr. Voyles:

It is with great pleasure that I officially inform you of your selection as the Director of the Gotham City Criminal Justice Planning Agency effective October 1, 1979. The selection committee has carefully screened over a hundred applicants for this post. We are convinced that you have the unique combination of criminal justice experience and administrative skill required for this position.

As you know, the coming year will be an exciting one for Gotham City. Gotham City and Payneless County are seeking to become a joint city-county planning unit. We believe that the status of a joint jurisdiction would offer exciting new opportunities for us, and we are going to rely on you to ensure that we fully capitalize on these opportunities.

As we discussed at length, the coming year is also an election year. I will be a candidate for re-election as Mayor. I maintain a firm position that your new appointment as Director establishes you as a professional criminal justice administrator in our community. I further believe that professional criminal justice administrators should not become involved in politics nor should they allow themselves to be duped and used by politicians seeking to capitalize on various forms of crime hysteria among the electorate. Your predecessor fell prey to the political vultures when he used his discretion to approve the public opinion survey and the victimization studies. I trust that in similar matters you will exercise better judgment than he.

I have enclosed the information you requested on crime and criminal justice agencies in Gotham City. The results of the public opinion survey and the victimization studies will not be available until late summer. As I indicated to you I seriously question the utility of the information coming from activities of this sort, but I will nonetheless forward the results to you as they become available.

CS 2-4



Virgil Voyles  
July 2, 1979  
Page 2

Again, I congratulate you on having been selected. I am sincerely looking forward to working with you, and I truly expect you to become a valued member of my staff.

Very truly yours,

Edward E. Flood,  
Mayor

# Gotham Gazette

(EDITORIAL REPRINT)

July 3, 1979

## THE NEW DIRECTOR

Mayor Flood announced today the selection of Virgil Voyles' as new Director of the Gotham City Criminal Justice Planning Agency. Mr. Voyles' selection was made by a committee composed of both City and County officials. This approach was taken to facilitate Mr. Voyles' future working relationships with County officials should Gotham City and Payneless County unite to become an entitlement jurisdiction.

Mr. Voyles has excellent credentials, including long service as both an administrator in a major law enforcement agency and as director of a major metropolitan criminal justice planning agency. He has an outstanding reputation in the criminal justice community. He was lavishly praised, even by the man he is replacing. Considering the "hornet's nest" he's entering, Mr. Voyles will probably need

all the savvy he has developed over the years. The battle lines are already being drawn over who will control the Planning Agency if this area becomes an entitlement jurisdiction. It is no secret that Harold Parfitt "bit the dust" because he was caught in the political crossfire between the Mayor and the District Attorney. The fact that these two are going to face one another in the coming mayoral election is also no secret, and it appears that the District Attorney plans to make the Mayor's handling of his criminal justice agencies a major campaign issue. The Mayor, as we have often pointed out, has been at times almost derelict in working to build a truly professional criminal justice system. The public backlash over the Parfitt ouster did not seem to phase the Mayor. According to reliable sources, he strongly urged the selection committee to choose Rod Brayton as new Director. Brayton's professional qualifications

for the new Director's job appear to be only three years experience as Assistant Director for Grants Management for the Planning Agency. His chief qualification, however, appears to be a long and close political relationship with the Mayor. Once again, the Mayor seems to have failed to understand that administration of justice in metropolitan America is not a job for political hacks.

At this time we congratulate Mr. Voyles on his selection, and we reiterate our stand that the Planning Agency should be made responsible to the County Manager if Gotham City and Payneless County become a joint planning unit. This would enable Mr. Voyles and his staff to really function as professionals. The public forums that will be held in the coming months should provide an excellent context for discussing this crucial issue.

# Payneless County

## PAYNELESS COUNTY

DISTRICT ATTORNEY'S OFFICE  
114 COURTHOUSE SQUARE  
GOTHAM CITY, MISERY 00007

Juanita Johannsen,  
District Attorney

July 14, 1979

Virgil Voyles  
8002 Balboa Street  
Dade, Florida 38765

Dear Virgil:

I want to extend my heartiest congratulations to you on being selected to serve as Director of the Gotham City Criminal Justice Planning Agency. As a member of the selection committee, I was very impressed with your responses to the questions we asked. As I indicated to you, many members of the Advisory Board believe that the Director should be more than a bureaucratic functionary, which is exactly what the current Mayor favors. We believe your background qualifies you to assume a leadership role in the criminal justice system that your predecessors have not been able or willing to assume. We further believe that the possibility that our county will become an entitlement jurisdiction will provide you with a greater opportunity to fully realize this leadership potential.

As I'm sure you learned during the selection process, criminal justice administrators in the Gotham City/Payneless County are strongly in favor of becoming a joint planning unit. On the other hand, most of us involved in the day-to-day administration of justice do not favor a continuation of the present system in which the Mayor has direct administrative control over the Planning Agency. This system has resulted in the Agency becoming little more than a "conduit" for federal monies. The Planning Agency has the potential to serve a much greater function in the overall criminal justice system, as witnessed by the victimization studies and public opinion surveys. The Mayor predictably opposed these efforts because he feared the results might jeopardize his re-election campaign. As Chairman, he used every parliamentary maneuver imaginable to keep the issue off the Advisory Board Agenda. The decision by the Mayor to move ahead with the victimization studies and public opinion surveys was made only after heavy pressure from the Advisory Board and the press. Your predecessor had the guts to speak out in favor of both projects. His support was a great contributor to the Mayor finally agreeing to put the issues on the agenda (at which time they passed overwhelmingly).

Virgil Voyles  
July 14, 1979.  
Page 2

Unfortunately, his support also probably cost him his job. The overwhelming majority of Advisory Board members are going to support making the Director of the Planning Agency responsible to the Payneless County Manager if joint planning is approved. We believe such a situation will enable the Director to function as a true professional for the first time since the inception of the Planning Agency.

The next year is going to be an exciting one for the criminal justice agencies in Gotham City and Payneless County. I personally look forward to sharing with you the challenges which lie ahead.

Best wishes,

Juanita Johannsen,  
District Attorney

# Gotham City

GOTHAM CITY  
CRIMINAL JUSTICE PLANNING AGENCY  
313 COURTHOUSE SQUARE  
GOTHAM CITY, MISERY 00007

HAROLD PARFITT  
DIRECTOR

July 30, 1979

Virgil Voyles  
8002 Balboa Street  
Dade, Florida 38765

Dear Virg:

It was good seeing you at the national convention. I want to reiterate what I said to you at that time: I'm pleased that a real "pro" like you has been chosen to replace me as Director. I wish you all the best (especially in dealing with the Mayor). I want to be of whatever assistance I can be in helping you to be a success. I believe that the criminal justice agencies in Gotham City are ready for the Planning Agency to move beyond serving as a mere conduit for LEAA funds. The time is "ripe" for the Agency to mature into a vital force in the Gotham City criminal justice community. The Mayor will probably try to block any bold new initiatives in this direction. I believe this problem will be short-lived for a couple of reasons. First, a majority of the Planning Agency Advisory Board are going to launch a major drive to have the Director made responsible to the County Manager rather than to the Mayor if entitlement for a unified Gotham City/Payneless County area is approved. One of the major constraints we have faced is an inadequate budget. This has restricted the agency in many areas. I believe entitlement status and/or removal of the mayor as the dominant force would lead to greater resource allocations for the Planning Agency. Second, if this effort fails, a possibility exists that the District Attorney, Juanita Johannssen, is going to run against and defeat the Mayor next year. The D.A. has been one of the leaders on the Advisory Board in attempting to broaden the scope of the Planning Agency. She was the driving force in having us do the public opinion survey and the victimization studies. If she runs and wins, which she probably can, you'll find her a supportive individual with whom to work.

Mr. Virgil Voyles

Page Two

July 30, 1979

As I promised, I'm enclosing an individual assessment of your new staff. If some of the comments appear bitter, it's no accident. I'd rather prejudice you against some of those vipers than have you learn the hard way as I did.

Again, congratulations! I'll keep in touch with you during the coming months. Let me know if there is anything I can do to help.

Sincerely,

Harold Parfitt  
Director

ASSISTANT DIRECTOR FOR PLANNING

Richard Williams, age 47, has been on the staff for six years. Prior to joining us he had served with distinction in a variety of jobs in the criminal justice field, including a ten year stint as Director of Planning for the State of Misery Department of Correction. He has been a loyal, dedicated employee. He has conscientiously attended all the courses for criminal justice planners offered by the Criminal Justice Training Center, and has established some very useful practices as a result of concepts he learned in those courses. He believes that his planning staff could be of greater service to the Gotham City Criminal Justice Agencies if they rendered direct technical assistance as well as their normal grant plan development activities. He feels that most of his staff has the knowledge and credibility to perform such a function. He also believes the agencies in the system would, for the most part, be receptive to such assistance. He has been frustrated by the Mayor's narrow perception of our role. He has been offered other jobs on a variety of occasions by criminal justice agencies throughout the State of Misery and elsewhere. He has continually turned down these offers. However, I believe that, should the current situation continue, he may feel forced to go elsewhere.

## COURTS PLANNER

Steven Starr, age 34, was such an incompetent attorney that even indigents objected if a judge attempted to appoint Steven to defend them. He was a dismal failure as an Assistant District Attorney. In fact, he was dismissed by the current District Attorney for poor performance. However, Steven does have one saving quality: his family has wielded considerable political power in Payneless County for four decades. The Mayor decided that Starr would make an excellent courts planner. Unfortunately, this has not proved to be the case. His past experiences as an attorney and Assistant District Attorney have resulted in a marked inability to establish any credibility whatsoever with court officials. Consequently, he has been quite ineffective. To his credit, however, Starr is a first-rate researcher, and he does have a keen analytical mind. His major weakness is an inability to think "on his feet". This is compounded by the fact that he is an "interpersonal incompetent". He simply doesn't interact well with others. Starr would be quite content to conduct research, write analytical position papers, and come in contact with people as seldom as possible.



## LAW ENFORCEMENT PLANNER

Ed Chism, age 39, was an excellent cop for twelve years before a service related disability ended his career at age thirty-three. He lost an arm as a result of shotgun wounds in a shootout with bank robbers. Chism has put the same amount of effort into being a law enforcement planner as he put into being a law enforcement officer. He has taken advantage of every specialized course offered in the law enforcement planning area. He went to night school and earned an MPA. He has conscientiously strived to excel at what he does, and his competence is admired by those with whom he works. He is a hard man to impress, and I often found myself going to him when I wanted someone to "shoot holes" in an argument or theory.

Chism is entering his fourth year with the Planning Agency. I believe he has gained the skills needed to do an outstanding job. Just as important, he has established credibility with the law enforcement agencies with whom he works. From time to time during the past ten years he was asked by both the Chief of the Gotham City Police and the Sheriff to provide technical assistance in such areas as manpower allocation and crime analysis. Due to the Mayor's reluctance for Planning Agency personnel to "meddle" in the internal affairs of criminal justice agencies, we of course handled these efforts as discreetly as possible. The Chief and Sheriff were so happy to get the good free help they gladly kept quiet about it.

Chism is frustrated by the limits placed on the position of planner. He has gained considerable expertise in the areas of monitoring and evaluation. Unfortunately, one of our greatest failures has been in these areas. Our grants management people make sure that money is spent legally, but they do little to see that it is spent wisely.

I feel confident you will find Chism to be a competent, loyal employee.

### CORRECTIONS PLANNER

Sally Harrison is gradually establishing herself as a first-rate planner. She came to us after three years as a planner with the State Correctional system. She has an MPA to go with a lot of practical knowledge and good old fashioned "horse sense". There have been barriers for her to overcome because she's a woman, but with a combination of charm and hard work she has made excellent progress in this regard. She's succeeded admirably in her quest to really understand the correctional system. Ms. Harrison has also established enough credibility and respect so that she too is getting requests to deliver technical assistance. Her willingness to render technical assistance has been gratifying. She's even been working on some projects with the correctional agencies on her own time.

Ms. Harrison is at age 28 one of the younger members of the staff. Her enthusiasm is a real asset to the whole organization. I am confident you'll enjoy working with her.

### JUVENILE JUSTICE PLANNER

Tod Arnold, age 25, is the youngest member of the staff having joined us about eighteen months ago, but his warm, friendly personality makes him one of the best liked. Arnold is also well qualified academically for the post. He is finishing his doctorate in Social Psychology with his dissertation being on the treatment of juvenile delinquents. He has worked for two years in a juvenile institution, so he does have some first hand knowledge of the way the system works. He still has plenty of room for growth, however. Arnold needs to improve his knowledge of specific planning techniques and to expand his understanding of the way our local juvenile justice agencies really work. He seems so committed to the job that he'll gain the needed knowledge and skills in due time. Given proper guidance and support from the more experienced staff members, I'm sure he'll become a major asset to the Agency in the coming years.

ASSISTANT DIRECTOR FOR GRANTS MANAGEMENT

Rod Brayton, age 41, has been a thorn in my side for the past three years. He worked in the Mayor's election campaign, and I was "asked" to consider him for this position when the previous Associate Director died. Brayton is a CPA. He has absolutely no conception of the grants management function being anything more than a glorified accounting process. Richard Williams suggested an approach whereby we could more effectively monitor the programmatic aspects of the various projects and possibly offer technical assistance in more cases in which problems were identified. Brayton nipped the idea in the bud. I don't think he really understood the concept. Even if he had, his low level of motivation in matters dealing with criminal justice would have probably doomed any attempt to implement Williams' plan.

One function Brayton has performed admirably is serving as the Mayor's "spy" in our organization. If he was motivated as highly to monitor projects as he is motivated to monitor my contacts with Advisory Board members the Mayor identified as "enemies", his division would have revolutionized the Gotham City criminal justice system! In all seriousness, Brayton can be a problem. The Mayor was supporting him to be my replacement, and he is an ambitious man. But, I believe now that he has not been selected, his ambitions will be directed elsewhere. In fact, I believe, he would welcome any opportunity to get out of the criminal justice business. If the Mayor is re-elected, perhaps he'll do us all a favor and transfer Brayton to the Budget office where he can play with members in a plusher office without hurting the criminal justice system.

#### PROJECT AUDITOR

Jerry Travers, age 32, is the real hope of the Grants Management Division. I hired him less than six months ago. He has six years experience as a Program Evaluator with a Regional LEAA office. He really understands the intricacies of project evaluation, and I believe he can help add a missing dimension to our efforts in management. From an organizational standpoint, Travers will need support to overcome the pressure Brayton will place on him to become an Auditor.

Travers brings a wealth of diverse experience to the organization. He has worked in all facets of the criminal justice system and has a good working knowledge of it. My only regret is that I didn't have a higher level position to offer him. I'm sure you'll find him to be a valuable staff member.

#### PROJECT AUDITOR

Dave Konawicz is cut out of the same mold as Rod Brayton. He came to us courtesy of the Mayor's election campaign. He worked as a financial auditor in a meat packing firm prior to joining us. He's still an auditor in every sense of the word. He's good with figures, but has resisted our best efforts to teach him that grants management might have implications beyond mere financial auditing. Brayton's recalcitrance in this area has not helped the situation.

Konawicz is a pleasant guy. He isn't really a "hack" like Brayton. I believe if they could be separated, Konawicz might possibly be "rehabilitated."

## EPISODE TWO: DE-BRIEFING NOTES

Following the period allotted for the formulation of responses, the instructor should briefly review the responses of the work groups. The following are examples of appropriate internal and external variables. Following these are examples of possible environmental assumptions that could address these variables.

A. Internal Variables: The following are the major strengths and weaknesses in the resources available to Virgil Voyles as he assumes the position in question:

1. The political strength, and professional weakness, of Rod Brayton, Assistant Director for Grants Management (Small "p" and Big "P").
2. The potential contributions that could be gained from Richard Williams, Assistant Director for Planning (Talent).
3. The weakened role of the Agency Director due to the Mayor's intervention in Agency operations (Big "P" and Little "p").
4. The limited budget that restricts service delivery (Fiscal).

B. External Variables: The following are forces in the environment of the Planning Agency, beyond Voyles' direct control, but which exert a powerful influence over his success in his new role:

1. The pending election.
2. The possibility of joint entitlement status for Gotham City and Payneless County (Voyles would become accountable to the Payneless County Manager).
3. The traditional status of the Criminal Justice Planning Agency as a mere conduit for LEAA monies rather than a deliverer of technical assistance.

C. Environmental Assumptions: The various work groups may have widely divergent environmental assumptions, depending upon the internal and external variables identified and the approach taken to those variables. In critiquing the assumptions developed, the following are the crucial criteria:

1. Does each address a variable identified by the work group?
2. Is the assumption measurable?
3. Is the assumption time-limited?

Possible environmental assumptions for the variables identified above are:

#### Internal Variables

1. By January 1, 1980, Rod Brayton will assume revised duties within the context of Grants Management that will restrict his attention to fiscal monitoring. (Point out the relationship of this assumption to the environmental assumptions that follow for the external variables and the remaining internal variables).

2. By January 1, 1980, the Planning Agency will be reorganized in order for the planning staff to administer technical assistance as a component of the grants management function.

3. By November 1, 1980, the Director will be empowered to reorganize the Planning Agency, making whatever personnel changes he deems appropriate.

4. By July 1, 1981, the operational budget of the Planning Agency will increase by 20%.

#### External Variables

1. By November 14, 1979, Juanita Johannsen will be elected Mayor of Gotham City.

2. By November 15, 1979, entitlement status will be granted to Gotham City/Payneless County.

3. By April 1, 1980, the Planning Agency will receive 200% more requests for technical assistance for the prior three-month period than for the comparable period in 1979.

The instructor should again emphasize the interrelationship of internal and external variables. Although the election and entitlement status are beyond Voyles' direct control, they can have a dramatic impact on his chances for success, as evinced by their relationship to the assumptions for the internal variables. For example, the assumptions that entitlement

status and a new mayor would be forthcoming created a framework in which the new Director could make assumptions concerning the manner in which the internal variable stated earlier, e.g., Rod Brayton's political strength and professional weakness, would impact the Planning Agency.

The instructor should indicate that often one of the major Internal Variables with which a criminal justice administrator must deal is talent constraints. An administrator can develop various strategies for dealing with those talent constraints, and the Situation Analysis provides a structure for developing and implementing those strategies. Where talent is concerned (for example, in the case of Rod Brayton), that individual could have his or her responsibilities changed, could be fired, or the Director could attempt to work with the current situation. Often, major personnel moves are not possible and, even if they are possible, they don't completely address the fact that different people have different types of personalities and must be dealt with accordingly in order for them and the organization to achieve maximum effectiveness. The following section of the course will provide a framework for assessing the potential strengths and weaknesses of different personality types within an organization.

## III. BEHAVIORAL ASSESSMENT

A. Introduction

As was pointed out in Module One, the higher up the managerial ladder an individual goes, the more time that individual will spend dealing with "human" or "interpersonal" tasks. The preceding case study episode also pointed out the importance of human or interpersonal considerations to a manager, especially in his or her assessment of internal variables. It is of critical importance to the criminal justice administrator to understand the strengths and weaknesses of his or her staff. Strengths and weaknesses in this context do not refer to technical job knowledge or performance; that is addressed in our discussion of performance appraisal. Strengths and weaknesses refer to behavioral characteristics. For example, as an administrator, it is important to know if a staff member or colleague enjoys working in groups or prefers more "individualized" tasks, or whether somebody is an "idea person" or a "detail person". This kind of information can be used by the manager in two ways. First, he or she can use it to understand why someone may be reacting in a certain way. Second, it can be used as the basis for making a decision to assign a person a certain task or provide training to a person involved in a certain task.

The behavioral assessment segment of the course is introduced at this point for several reasons. First, this type of information is invaluable at any time, and the sooner the manager begins to make these types of assessments the better



## LECTURE NOTES

Key Points and Comments
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off he or she will be. Second, in the context of the Situation Analysis, a great deal of attention is normally paid to assessments of staff when looking at Internal Variables. This is one tool that can be used to assess behaviorally oriented strengths and weaknesses of the staff.

The following segment of instruction is based on an individual exercise that each participant will complete and self-score. The objective of the exercise and its supporting lecture is to enhance the capacity of participants to understand -- and thus achieve greater success in influencing -- the behavior of others within organizations and programs.

B. Instructions for Administering the Instrument

1. Have participants read the instructions on the Interpersonal Checklist.
2. Solicit and respond to pertinent questions.
3. Allow ten minutes to complete the instrument.
4. Explain that they will score the instrument after a brief introduction of the theory. Participants should be told that nobody else will see how they answer this questionnaire. Therefore, to receive the most valid personal assessment, they should be as truthful as possible in checking the phrases that most accurately describe them as individuals in their working environment. Additionally, their scores will be more accurate if they actually check 40 phrases as described in the instructions.

### C. Theory Overview

An intense investigation into the behavior of individuals in organizations would, of course, involve a time commitment far beyond that available in this course. The approach being taken here is in no way intended to be deeply analytical, and participants should be so informed by instructors.

On the positive side, however, the approach does offer a relevant "shorthand" method for participants to gain a greater understanding of what their behavioral tendencies probably are within an organizational setting, i.e., what their major strengths and weaknesses might be, how they might best be motivated or communicated with, and so on. This approach also can assist participants in better understanding how to interact effectively with other types of individuals in their organizations. With this general background presented, proceed to the more detailed explanation of the theory.

### D. The Organizational Personality

1. Overview - The theory that serves as the basis for this discussion views personality as a two-dimensional phenomenon. Each individual's personality can be described as a function of where they fall in terms of two continua:

a. Level of Acceptance or Rejection of External Controls.

Individuals who accept external controls feel more comfortable when someone else imposes a structure and/or directions on them. These individuals prefer to have either other people or an organization define their parameters. Individuals who reject external controls do not want to have other people

*The instructor should graphically display these two continua as they are described.*

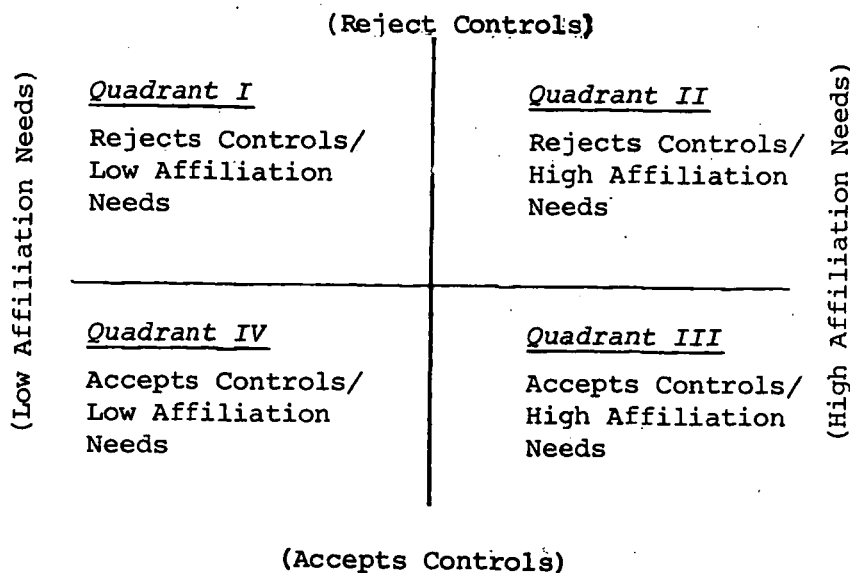
## LECTURE NOTES

telling them what to do or how to do it. These individuals prefer to define their own parameters. In other words, they like to make their own rules and play by them. Everybody falls at some point on this continuum in terms of their level of acceptance or rejection of externally imposed controls.

### b. Level of Affiliation Needs

The other continuum or personality trait used to describe interpersonal behavior is the level of affiliation needs of an individual. In other words, how much does someone want and/or need to be around, i.e., "affiliated" with, others. People with high affiliation needs have a great deal of desire to work around and always be around others. People with low affiliation needs, conversely, prefer work and recreational situations that are more individually oriented.

The way in which these two sets of traits interact can be graphically depicted as follows:



Key Points and  
Comments

The instructor can go through each of the 4 quadrants.

Every individual will have a predominant personality style that can be described in terms of one of these four quadrants. Certainly there will be individual variations and nobody will have characteristics found in just one particular quadrant, but these quadrants serve as good general guidelines for defining an individual's most predominant personality traits. As a word of caution, nothing in this discussion is meant to be clinical in nature. The instrument does not purport to diagnose individuals, but merely offers psychological principles as the basis for gaining a better understanding of one's own interpersonal style, and how one impacts other people. With this in mind, the four basic quadrants will be briefly discussed below.

*Quadrant I - Rejects Controls/Low Affiliation Needs*  
*"The Aggressive Dynamo"*

This quadrant can be characterized using the following descriptors:

Aggressive	Impatient
Boastful	Outspoken
Competitive	Self-confident
Critical	Selfish
Decisive	Self-reliant
Firm	Shrewd
Frank	Straightforward

*Quadrant II - Rejects Controls/High Affiliation Needs*  
*"The Respected Statesman"*

This quadrant can be characterized using the following descriptors:

Acts important	Helpful
Admired	Overprotective of others
Big-hearted	Reassuring
Bossy	Respected
Considerate	Responsible
Forceful	Too lenient

## LECTURE NOTES

### Key Points and Comments

*Quadrant III - Accepts Controls/High Affiliation Needs "Everybody's Friend"*

This quadrant can be described using the following descriptors:

Accepting	Lets others make decisions
Appreciative	Likes everybody
Can be too easily influenced	Pleasant
Cooperative	Respectful
Dependent	Stable
Friendly	Trusting
	Warm

*Quadrant IV - Accepts Controls/Low Affiliation Needs "The Skeptical Perfectionist"*

This quadrant can be described using the following descriptors:

Able to criticize self	Obedient
Apologetic	Perfectionist
Determined	Persistent
Easily embarrassed	Precise
Hard to impress	Shy
	Skeptical
	Stubborn
	Touchy

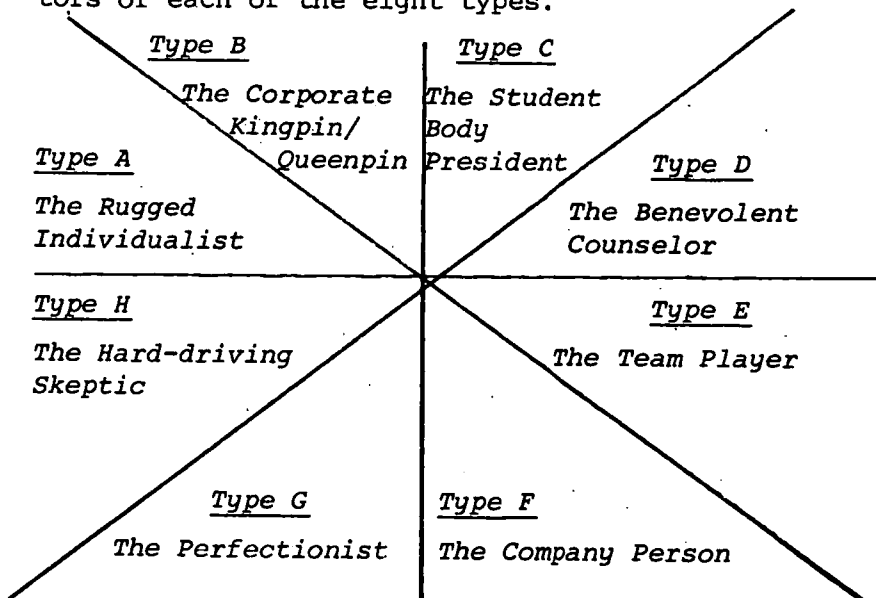
The above represents the broad parameters established by this theory of individual behavior. In the next segment more detail is provided concerning behavioral "types".

E. Instructions for Scoring the Instrument

1. Have the participants read the instructions on the Interpersonal Checklist Scoresheet.
2. Solicit and respond to pertinent questions.
3. Allow 15 minutes to complete the scoring.

F. Style Descriptors

Given this broad overview, we can begin to talk about individual personality types. The four quadrants define general clusters of traits. We can understand styles of individuals better by breaking down these quadrants even further into eight major personality types. Each person probably contains elements of all eight styles within their personal make-up, but their behavior reflects one of these eight far more than the others. That one we will refer to as the dominant style. With that in mind the following synopses are offered as descriptors of each of the eight types.

Key Points and  
Comments

The scoring instructions and scoring sheets are included in the Instructor Guide. The Instructor should be familiar with how the scoring is accomplished and circulate among the participants as they score their instruments to make sure they understand the instructions. The instructor should also point out that this instrument has been scientifically "validated" on a variety of populations, including among public and private sector managers. The concurrent validity with other personality instruments is quite high for this type of instrument (c. 40). Additionally, factor analysis finds that intercorrelations on contiguous types is

LECTURE NOTES

Key Points and Comments
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<p><i>highest with inter-correlations on opposite types as lowest. If participants are interested in examining more closely the theoretical background of the instrument, a lengthy series of journal articles and studies are cited in the Participant Guide.</i></p>
--

1. TYPE A: THE RUGGED INDIVIDUALIST

Strengths

Demands much of self

Doer

Fair in dealings

Firm

Hard-driving

Hard worker who likes results

Self-disciplined

Straightforward and honest

Tough

Archtype: Vince Lombardi

Weaknesses

Concern for product at expense of person

Impatient and irritable

Not a team player

Not tactful

Often unfriendly and cold

Often unkind and hard-hearted

Outspoken

Self-seeking and calculating

Too much of an individualist

2. TYPE B: THE CORPORATE KING OR QUEENPIN

Strengths

Assertive

Self-sufficient

Great force of character

Independent

Projects good, business-like image

Self-confident

Usually gets own way

Archtype: Lyndon B. Johnson

Weaknesses

Can be indifferent to others

Difficulty sharing limelight

Dislikes detail

Easily bored

Forgets about others

May hop from job to job

Self-centered and somewhat snobbish



3. TYPE C: THE STUDENT BODY PRESIDENT

Strengths

Admired

Composed under pressure

Enthusiastic

Good at getting things done  
through others

Makes a good impression

Optimistic

Readily assumes tasks

Respected and remembered

Sincerely interested in others

Archtype: John F. Kennedy

Weaknesses

May build up peoples' hopes too  
high

May present things as accomplished  
facts when they are not

Overly optimistic

Overly self-confident

Puts too much faith in others'  
abilities

Terrible with details

Too bossy

Too controlling

4. TYPE D: THE BENEVOLENT COUNSELOR

Strengths

Considerate and unselfish

Good listener

Kind and helpful

Makes others feel at ease

Makes others feel good about  
themselves

Respects the integrity of  
individuals

Stands firm for own beliefs

Unselfish

Warm and friendly attitude

Archtype: Marcus Welby  
Mary Tyler Moore

Weaknesses

Doesn't demand the best of people

Functions poorly in high pressure  
situations

May appear nosey

May come across as spineless

Not results-oriented

Spends too much time nurturing others

Too lenient

Too protective of others

5. TYPE E: THE TEAM PLAYER

Strengths

Affectionate and understanding  
with others

Cooperative and friendly

Displays poise and social grace

Eager to get along with others

Eager to participate in most  
activities

Enjoyable to be around

Seeks approval of others

Wants to be liked

Archtype: Richie Cunningham on  
"Happy Days"

Weaknesses

Can be blind to others' shortcomings

Can be easily taken advantage of

Functions poorly in a fast-paced,  
results-oriented environment

Hard pressed to meet deadlines

May be too much of a joiner

May need too much outside reinforcement

Spends too much time and energy on  
interpersonal relationships

Talker, not a doer

6. TYPE F: THE COMPANY PERSON

Strengths

Admiring of others, usually  
without jealousy

Appreciative and grateful

Conservative

Deliberate

Plans ahead

Seeks approval and affection

Steady and easygoing

Trusting and eager to please

Archtype: Richie Cunningham's  
Father on  
"Happy Days"

Weaknesses

Gullible

Has a difficult time taking any  
initiative

Has a hard time speaking up

Lets others make decisions

May harbor a grudge

Too dependent

Too sensitive

Reluctant to alter longstanding  
policies and procedures

7. TYPE G: THE PERFECTIONIST

Strengths

Accurate  
Conservative  
Dislikes conflict  
Modest  
Persistent and determined  
Precise  
Obedient  
Quick to admit own faults  
Archtype: Radar on "MASH"

Weaknesses

Can often obscure the big picture  
May be indecisive  
May lack self-confidence  
Shy  
Timid  
Too "nit-picking"  
Unwilling to interact with others  
Will not take risks

8. TYPE H: THE HARD-DRIVING SKEPTIC

Strengths

Accurate  
Examines details  
  
Excellent at difficult, technical tasks  
Hard worker  
Has a great deal of energy  
  
Has high standards  
High need to achieve  
Lets you know where you stand  
Persistent and determined  
Archtype: Hawkeye on "MASH"

Weaknesses

Hard to impress  
Has a difficult time making a decision  
  
Lacks tact  
  
May project a gloomy, bitter attitude  
Often resents attempts to impose external controls  
  
Reluctant to mingle with others  
Stubborn  
Uncomfortable managing others

G. Implications for the Criminal Justice  
Administrator

1. Interaction of Types

As is probably apparent by this point in the discussion not all types get along well with each other. Indeed certain types interact better than others. In general, it has been found that "neighbors," types bordering on one another, tend to interact the best. In other words, a Type C would interact better with Type B's & D's than with other types. Intuitively, this makes sense because C's share more of the same traits with B's & D's than they do with other types. Consequently, they will feel more comfortable with people who are like them. Socially, you will probably find similar or neighboring types who socialize together. Professionally, this may also be the case. The great danger with this is that an organization may have a disproportionate amount of certain types at the exclusion of others, simply because in the hiring process someone may have felt more comfortable with other neighboring types. The individual doing that hiring may not be aware of what they are doing, and, thus, may unconsciously overload an organization with, for example, "detail people" at the exclusion of "big picture" people.

If "neighbors" interact the best, opposites interact the worst. In other words, C's get along the worst with G's. A Type C with his or her propensity for the big picture has a difficult time interacting with a G who wants to examine every detail. A Type E who wants to socialize and fraternize at a leisurely pace is just as uncomfortable

*The Instructor may want to draw the octants to depict these interactions.*

## LECTURE NOTES

Key Points and Comments
----------------------------

with a Type A who is all business and always in  
"overdrive."

### 2. Importance of All Types

The way the types interact has important implications for any working environment. Each type has both strengths and weaknesses. Because we tend to be more comfortable with our neighboring types, we tend to surround ourselves with them. This creates problems because it gives us a preponderance of not only certain strengths but also certain weaknesses. At the same time there may be nobody to counterbalance the weaknesses. Therefore, especially in a working environment, it is very important to have a good blend across types.

- A's & B's - Stir things up and get them going
- C's & D's - Get others involved and working
- E's & F's - Provide stability and organization
- G's - Take care of details
- H's - Play the devil's advocate

Each type has a crucial role and no type should be overlooked in building a solid organization.

### 3. Use of Types

Once an administrator has a working knowledge of these types, this knowledge should not be used to "pigeon-hole" people. Certainly it's important to know what people do best and with what they're most comfortable. However, it's also important to know weaknesses and areas you can help someone improve in. Just because C's are not detail people doesn't mean they're hopeless in that regard. Rather, the knowledge that details aren't their strong point can be a guide in helping them to improve in

### Key Points and Comments

Key Points and Comments
<p>refer to Visual 2-3.</p> <p>refer to the Manage- ent Process Chart.</p>

Key Points and Comments
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Key Points and Comments
<p>refer to Visual 2-3.</p> <p>refer to the Manage- ent Process Chart.</p>

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Key Points and Comments
<p>refer to Visual 2-3.</p> <p>refer to the Manage- ent Process Chart.</p>

- | Key Points and<br>Comments   |
|--|
| <p>refer to Visual 2-3.</p> <p>refer to the Manage-<br/>ent Process Chart.</p> |

Key Points and Comments
<p>refer to Visual 2-3.</p> <p>refer to the Manage- ent Process Chart.</p>

Key Points and Comments
<p>refer to Visual 2-3.</p> <p>refer to the Manage- ent Process Chart.</p>

## LECTURE NOTES

of this Module we will discuss the second step of Normative Planning, beginning at Step Four in the Management Process.

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

A management authority once observed that if people did not know where they were going, then it did not particularly matter where they were. Similarly, the data gathered during the Situation Analysis becomes truly useful only when it is utilized by the criminal justice administrator to establish a focus, or direction for the efforts to be undertaken in each role. Knowing where you are in terms of resources and environmental factors can provide valuable input in determining the nature and scope of activities in each role area. Establishing foci for the three roles is a two-phased process culminating in a specific delineation of what is to be achieved in each role area.

#### A. Phase One: Establishing Organizational and Personal Missions

"Mission" is defined in the Glossary as "An enduring goal of an organization which gives it a reason to exist". For example, the mission of a state planning agency might read as follows: "The mission of the State Planning Agency is to provide financial and technical assistance to agencies, groups and individuals to contribute to improving the administration of criminal justice in this State." A mission is usually general and without time limitations.

#### Key Points and Comments

Point out that this represents Steps 4 and 5 on the Management Process Chart.

It makes no sense to talk about missions that are beyond your individual constraints; e.g. a State Division of Youth Services which has just had status offenders legislated away from it should not talk about planning for treating status offenders.

Point out that few organizations or programs actually attain their mission. When one does, as was the case with the March of Dimes and its mission of eradicating polio, a new, more unattainable mission is generally

## LECTURE NOTES

In performing the three roles, however, the activities of the criminal justice administrator often transcend those that fall specifically within the mission parameters of a particular agency. As a professional, the administrator's actions may be guided by interests and issues broader than any one agency's scope. In the context of the discussion to follow, "mission" takes on a broader meaning. Specifically, it is expanded to include not only the goal of an organization but also the goal of an individual position within the criminal justice system -- that of criminal justice administrator. Thus, each criminal justice administrator should develop a personal mission.

An example of how one iteration of a criminal justice administrator's mission might read is as follows: "My mission as an administrator in the criminal justice system is to exercise authority and influence in performing the roles of director of an organizational unit, manager of programs, and leader in the criminal justice system in order to have the greatest positive impact possible in reducing the rate and cost of crime." Actively pursuing such a personal mission should contribute to the

### Key Points and Comments

established. In the March of Dimes example, the new mission is to find cures for childhood diseases, the number of which is theoretically infinite.

A personal mission can separate the professional from the technician and serve as an umbrella over the administrator's missions in his or her other two roles.

At times, the personal mission of the criminal justice administrator may become incompatible with the mission of either the organizational unit in which he or she works or the program in which they are involved.



## LECTURE NOTES

success of the criminal justice administrators in assisting the agency by which they are employed and those organizations with which they work to achieve the agencies' missions.

The importance of a mission cannot be overstated.

It provides the broad direction in which the organization or individual is going. It provides the framework in which more specific decisions about what the organization or individual is going to do can be made. Developing a mission statement requires the individual or organization doing it to analyze broader issues as well as those specific ones covered in the Situation Analysis. For example, in the case of an organization developing a mission statement, the question of why the agency was created should be explored and, if still appropriate, should be reflected in the mission statement. The criminal justice administrator should be aware of the importance of a clearly-defined mission, and should strive in each of the three roles to insure that the organizations with which that administrator is involved establish and use mission statements appropriately. Examples of how an administrator can promote this development and utilization in the three role areas are described below.

### 1. Director of an Organizational Unit

The mission of most agencies in the criminal justice system is at least generally defined in statutes, policy-board guidelines and so forth. As director of an organizational unit, the criminal justice administrator should use personal authority and influence to insure that the mission is (1)

## Key Points and Comments

*Such conflicts in missions can be frustrating and lead to reduced effectiveness unless resolved. Resolving such conflict can involve the individual criminal justice administrator (1) changing his or her personal mission, (2) successfully influencing a change in the agency or program mission, (3) seeking alternative employment, or (4) remaining a frustrated actor in the agency or program.*

*Point out that in many agencies and programs the missions are probably already defined.*

*The criminal justice administrator should strive to see that the missions established for each of the roles reflect the key factors identified in*

## LECTURE NOTES

clearly stated, (2) communicated to all employees, and (3) used as the foundation for developing the organizational unit's plan. Every aspect of the plan should be designed to contribute directly or indirectly to achieving the mission.

### 2. Manager of Programs

As the manager of a program or programs, the criminal justice administrator should clearly state the mission of the program prominently in the program guidelines.

### 3. Leader in the Criminal Justice System

As a leader in the criminal justice system, the criminal justice administrator should use any personal influence with relevant professional groups and criminal justice agencies seeking technical assistance to convince them of the need to develop and properly use a mission statement.

### 4. Conclusion

Establishing mission statements for criminal justice administrators as individuals and for those programs with which they work is the first important phase in establishing the foci required for maximum success in positively updating the criminal justice system. After establishing the mission, the second phase, formulating goals, can be addressed.

#### B. Phase Two: Developing and Selecting Normative Goals

A mission statement is essential to criminal justice administrators in determining the general boundaries within which their agencies, programs, or activities should be directed. Mission statements usually are not sufficiently specific, however, to substantively guide decision makers in selecting the

#### Key Points and Comments

the situation analysis.

A discussion of mission, normative goals, and so on sometimes causes confusion if the participant group consists of individuals representing differing

## LECTURE NOTES

broad course(s) of action they should take within those parameters established by the mission. For example, the mission of a youthful offender program might read as follows: "The mission of the Youthful Offender XYZ Program is to enhance the capability of those agencies and institutions serving adjudicated youthful offenders ages 16-21 years to achieve greater success in assisting their clients to prepare to lead non-criminal lives." The mission states the boundary of program activities: The XYZ program is to enhance the capability of existing agencies and institutions serving youthful offenders. XYZ is not intended to establish projects and activities beyond the framework of these agencies and institutions. Within that boundary numerous possibilities for program initiatives exist. Should the program provide staff training to personnel in these agencies and institutions? Should program funds be used to open a half-way house for youthful offenders lacking adequate housing? Should counseling services be initiated, or should job placement support be given priority? And so on. Criminal justice administrators need far more specific guidance than the mission statement provides to make these types of decisions.

1. The next step in establishing foci for organizational, programmatic, and leadership efforts is to establish normative goals to guide criminal justice administrators in making such decisions. As defined in the Glossary, "normative goals are outcomes to be achieved, usually general and not time-limited." Normative goals indicate to the criminal justice administrator which phenomena within the boundaries established by the mission should be

### Key Points and Comments

agency or program levels. The confusion arises because what may serve as a mission for a local planning unit may be a normative goal for a regional or state planning agency. The same may hold true in the case of a major division within a large state or local government agency. Emphasize that this is not uncommon or wrong, but merely reflects the fact that missions, goals, etc. reflect the unique environment of the agency or program in question; and an important aspect of this environment is the governmental, organizational or programmatic level at which the criminal justice administrator is involved.

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addressed.

Establishing normative goals thus provides a more definite focus for the allocation of agency, program or individual resources.

As is true in the case of many of the important components of the management process, the development of normative goals can be accomplished through either a systematic process or through the often less than systematic process that occurs when significant forces in the agency or program environment intervene. The rational process utilizes the major product of the analysis process, the Problem Statement, as the basis for formulating normative goals. The latter process can rely on a multitude of sources upon which to base normative goals, e.g., pressure from politicians, "knee-jerk" responses to crises, etc. Both these approaches to developing normative goals will be evident in the next Episode of the Case Study.

2. As indicated before and throughout the remainder of this module, goals which are systematically derived from an understanding of the problem and community interests will result in more effective

### Key Points and Comments

*Emphasize that normative goals, as was the case with missions, can be imposed or mandated. Point out that the "systematic process" is shown on the Management Process Chart as Step 6, which the dotted line "bypasses." Step 6 is the systematic approach.*

*This covers material taught in the Planning, Analysis and Program Development*

## LECTURE NOTES

tive and responsive policies and programs.

3. In some cases the primary and secondary data bases collected and maintained for a given jurisdiction may provide a comprehensive and complete explanation of a given problem. The major exercise in the Planning Course provides an excellent example of such a data base and provides planners and analysts an opportunity to prepare problem statements using this comprehensive data base. In such cases the analyst reviews the entire data set and examines significant deviations and relationships to identify and explain a problem.

4. Frequently, we find that our data base may not be comprehensive or complete and that issues do not surface from our data, but from "concerns" expressed by the community. Concerns may come from a variety of sources. In the Juvenile Justice XYZ Program, for example:

- A civic-minded individual might voice a "concern" about the lack of job opportunities for juvenile offenders.

- A juvenile probation officer might express "concern" about the lack of adequate housing for juvenile probationers.

- A juvenile judge might express "concern" about the lack of counseling services for juveniles.

- The director of the juvenile detention center might voice "concern" over that area.

- The planning agency staff members specializing in the juvenile area could identify a variety of "concerns" in their area.

Criminal justice administrators should insure their staffs respond to concerns in a logical, critical manner.

### Key Points and Comments

Courses--but from the management perspective. In teaching this material, emphasize the manager's role. Do not get too involved in the techniques of analysis.

This could be a good discussion point.

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There are usually far more concerns than there are resources to address them. Criminal justice administrators should, therefore, try to insure that only legitimate concerns are identified for further consideration.

No hard, steadfast rules exist for determining which concerns are legitimate for further analysis. However, the following procedure can help criminal justice administrators to establish a reasonable framework for making such decisions:

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

If, then, the expressed concern appears to warrant further consideration, an analysis should be undertaken to:

- Specify the problem.
- Collect data relevant to the critical questions or hypotheses.
- Interpret findings.
- Draw conclusions.
- Prepare a problem statement.

This is a deductive approach to analysis that enables the analyst to conceptually focus the analysis on questions or hypotheses derived from the "expressed concerns" and related factors in the environment and the criminal justice system.

This deductive approach to analysis is taught in the Analysis Course.

### Key Points and Comments

*This process is taught in the Analysis Course. Instructors should review the Introduction and Module I of the Analysis Course to be able to respond to questions quickly.*

## LECTURE NOTES

### Key Points and Comments

5. The primary product of problem analysis is the Problem Statement, which can be used by criminal justice administrators to determine which concerns are real problems that should be addressed.

A suggested outline of a problem statement is presented in Exhibit 2-2. Briefly it:

- a. Explains the expressed concern(s).
- b. Presents the methodology of the analysis.
- c. Presents the findings for each question or hypothesis.
- d. Discusses the findings and relates the findings to the expressed concern(s).
- e. Focuses the attention of decision-makers and draws conclusions.

An example of a complete problem statement, extracted from the Analysis Course, is provided for your reference in the Module Two Text in the Participant Guide.

6. While the preparation of the problem statement is a technical task that should be performed by qualified staff, the criminal justice administrator should assess the adequacy of the problem statements prepared by his or her staff applying the following criteria:

a. **Comprehensiveness** - Does the problem statement address all relevant factors, e.g., magnitude, seriousness, rate of change, etc. shown in Exhibit 2-3, "Characteristics of a Well-Developed Problem Statement"?

b. **Completeness** - Does the problem statement address the components shown in the linear diagram in Exhibit 2-4, "Presumed Causes, Effects,

*Refer Participants  
to Exhibit 2-2.*

*Refer participants  
to Exhibit 2-3.*

## LECTURE NOTES

and System Responses"?

The components shown in the diagram are defined below:

Key Points and Comments



OUTLINE OF A PROBLEM STATEMENT

PROBLEM STATEMENT: VEHICLE THEFT IN CHAOS CITY, 1977

TABLE OF CONTENTS

1.0 Introduction

- 1.1 Statement of Concerns
- 1.2 Nature and Source of Concerns
- 1.3 Scope of Concerns

2.0 Analysis Methodology

- 2.1 Definition of Terms Used
- 2.2 Measurement Reliability and Validity
- 2.3 Data Collection Procedures
- 2.4 Statistical Methods

3.0 Findings

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

4.0 Discussion

- 4.1 Findings Relative to Expressed Concerns
- 4.2 Limitations

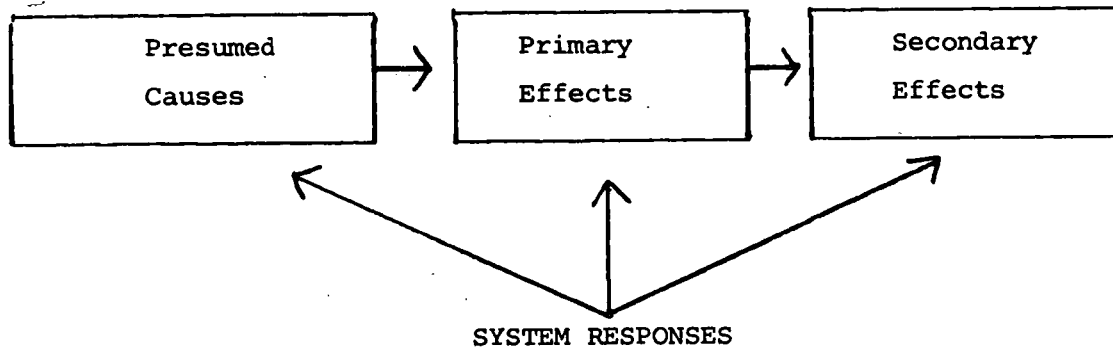
5.0 Summary

- 5.1 Highlights
- 5.2 Conclusions

CHARACTERISTICS OF A WELL-DEVELOPED PROBLEM STATEMENT

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

PRESUMED CAUSES, EFFECTS AND SYSTEM RESPONSES



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(1) Presumed Causes - Those conditions and events that are thought to come before and lead to the expressed concern and related events and effects.

(2) Primary Effects - Those events and conditions that directly result from the presumed causes.

(3) Secondary Effects - Those events and conditions that directly result from the primary effects and indirectly from the presumed causes.

(4) System Responses - Existing activities, programs and policies developed and implemented to deal with the aspects of the problem cited above.

c. Technical Adequacy - Is the problem statement technically valid and reliable?

(1) Is there a well-stated conceptual foundation for the Problem Statement?

(2) Have the critical hypotheses been selected?

(3) Are the variables and measures reliable and valid?

(4) Are the statistical techniques used appropriately?

(5) Are the data used effectively and interpreted correctly?

7. Usually, there are several "problems" competing for the attention and resources of the criminal justice system in a given jurisdiction. Therefore, it is necessary to establish priorities among problems. Using criteria to rank a set of problem statements in terms of their priority for intervention may help to structure these determinations.

### Key Points and Comments

Exhibit 2-4 provides a linear model which should be used to illustrate these categorizations. Causality is a complex and very technical subject which must be handled with caution. However, practitioners often have to infer cause where others fear to tread. Note: These criteria are a series of good questions to ask technical staff.

Make sure the participants understand that you have moved from consideration of a single problem statement to consideration of several problems at this point.

## LECTURE NOTES

### Key Points and Comments

- a. Develop possible criteria for ranking problem statements.

The criteria should focus on comparable aspects of the problem and should be based on information that will be presented in the problem statements: size, seriousness, trends, costs, location, history, etc. Examples of Criteria:

- (1) The problem should affect a relatively large number of people.
- (2) The problem should result in a significant expense to the criminal justice system.
- (3) The problem should have existed for a long period of time and should be growing in seriousness and frequency.
- (4) The problem should be areawide rather than specific to a particular area.

- b. Select and Weight Criteria

This can be done by polling decision-makers, examining past trends, and/or consulting outside experts. Some characteristics of Good Criteria:

- (1) They are explicit to avoid confusion.
- (2) They are applicable to several problem areas.
- (3) Information on the Criteria is available.

- c. Rate and Rank the Set of Problem Statements against the Problem Statements.

Again it may be important to involve policy level decision-makers in this process. The

## LECTURE NOTES

results of these determinations will have a substantial impact.

8. While in many instances the establishment of normative goals may precede or be derived independently of problem analysis, the normative goals should be refined in terms of an understanding of and the relative importance of the substantiated problems.

### 9. Developing Normative Goals

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

For example, assume that Problem Statements developed for the Youthful Offender XYZ Program were ranked as follows:

1. Unemployment
2. Housing for youthful offenders
3. Treatment services for youthful offenders
4. Training for Agency Officials serving youthful offenders (Please note: This concern did not prove to be a significant problem.)

Based on this ranking, the corresponding normative goal statements might read as follows:

1. Reduce the level of unemployment among youthful offenders
2. Provide adequate housing for youthful offenders
3. Improve treatment services for youthful offenders

## Key Points and Comments

*This should provide a good transition to the following discussion of Normative Goal Development and the Normative Goal Decision Package.*

*Re-emphasize at this point that goals are usually general and not time-limited.*

## LECTURE NOTES

Each of these normative goal statements expresses outcomes to be achieved which are general and not specifically time-limited.

### 10. Normative Goal Decision Package

Once Normative Goals have been established and the problem statement(s) assessed, the criminal justice administrator should require that program developers prepare Normative Goal Decision Packages such as the one shown in Exhibit 2-5. These Decision Packages, based on inputs from the Problem Statement(s), provide a useful format for deciding which Normative Goals to adopt.

Key Points and Comments
Refer to Exhibit 2-5, Normative Goal Decision Package.

NORMATIVE GOAL DECISION PACKAGE

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

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



## LECTURE NOTES

Key Points and Comments

In the role of director of an organizational unit, the criminal justice administrator can use Normative Goal Decision Packages to establish the normative goals over which he or she has discretion. As a manager of programs, however, the criminal justice administrator may merely serve as a resource to an advisory board which selects normative goals. In that case, the Decision Package remains a valuable format for presenting recommendations to the Advisory Board.

As indicated earlier, normative goals are not necessarily the product of a rational, analytical process. The next Episode of the Case Study, which follows at this point, illustrates this reality.

### CASE STUDY EPISODE THREE: A WALK-THROUGH

Episode Three is designed to demonstrate two alternative ways in which normative goals are developed. Specifically, the Episode first shows how Problem Statements can be used as a basis for establishing normative goals, then proceeds to illustrate how a "crisis" can cause normative goals to be imposed on an agency or program. This Episode is designed as a "walk-through". The following are the key points the instructor should make:

1. This Episode addresses Steps 5, 6 and 7 in the Management Process Model.

2. Initially, Voyles is attempting to employ a rational approach to normative goal development. The "Normative Goal Decision Packages" are based on the attached Problem Statements, and are ideally used as the basis for the decisions made at

*Allow 15 minutes for the participants to familiarize themselves with the Episode materials. Instruct them to focus on the "cover sheet" of the Normative Goal Decision Package, i.e. CS 3-8 and CS 3-9, rather than the*

## LECTURE NOTES

Step 7 on the Management Process Model.

3. The letter from Juanita Johannsen is self-explanatory, and is indicative of the manner in which outside forces can "impose" normative goals on an agency or program.

At the conclusion of the walk-through, the instructor should pose the following question to the participants: "How should Voyles respond to Johannsen's letter?" De-briefing notes on this question appear at the end of the Episode Three materials.

Key Points and Comments
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<i>Problem statements themselves.</i>
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CASE STUDY  
EPISODE THREE  
Charting a New Course

Objective:

At the completion of Episode Three, the participants should be familiar with the alternative methods for establishing normative goals.

Instructions:

This Case Study will be conducted as a walk-through. The instructor will supervise the walk-through.

# Gotham Gazette

(EDITORIAL REPRINT)

August 12, 1979

## CITY OR COUNTY ENTITLEMENT?

Politics is rearing its ugly head again in the debate over "entitlement", the novel new approach to the funding recently adopted by the Law Enforcement Assistance Administration. Under the concept of entitlement, cities with population of at least 100,000 and counties with population of at least 250,000 can receive "bloc" grants of LEAA funds. In addition, the city or county qualifying for an entitlement grant has the authority to decide how the monies are going to be spent. Such local autonomy has long been a dream of most Gotham City and Payneless County criminal justice officials. These officials have often complained bitterly that the State of Misery Planning Agency has "shortchanged" our city and county in its allocation formulas in favor of smaller locales that simply don't have the crime problems we have. Entitlement would

alleviate this inequity.

The problem is this: the Mayor of Gotham City wants the City to apply for entitlement on its own, without including Payneless County. The folly of this approach is obvious: Gotham City's crime problems don't stop at the city limits! Gotham City and Payneless County are plagued by common problems that require a unified approach to solve. Entitlement for Payneless County and Gotham City as a unit would facilitate the formulation and implementation of measures to combat our rising crime rates.

The Mayor's motivation is unfortunately obvious. He realizes that a unified city-county entitlement will result in his losing direct bureaucratic control of the Planning Agency. His sometimes tyrannical exercise of this control has been addressed in earlier editorials. The time has come for this tyranny to halt. The best in-

terests of the citizens of Gotham City and Payneless County will be served by a unified entitlement jurisdiction. The Mayor must step aside on this issue.

Public hearings on this issue will be held next Tuesday evening at 8:00 PM at the Municipal Building. We urge concerned citizens to attend and support a unified city-county effort. We would also like to make a special appeal to Virgil Voyles, the new Director of the Planning Agency. In a short time he has impressed the criminal justice officials in the city and county with his knowledge and expertise. He seems to be the kind of person who can fill the leadership void that has plagued efforts to improve our criminal justice agencies. We call upon Mr. Voyles to speak out at the public hearings on this crucial issue. His opinions on this matter should be heard. We are not so naive as to ignore the risk he might incur if he opposes the Mayor. But we also hope that his sense of duty

# Gotham Gazette

(EDITORIAL REPRINT)

August 12, 1979

CITY OR COUNTY ENTITLEMENT?  
(continued)

to the criminal justice system  
will override these concerns.

Speak out, Mr. Voyles.  
We need your leadership!

CS 3-3

# Gotham Gazette

(EDITORIAL REPRINT)

September 1, 1979

## CONGRATULATIONS MAYOR

We have in the past often been critical of Mayor Flood's political "wheelings and dealings" in matters concerning the Criminal Justice Planning Agency. Last Tuesday night, however, the Mayor acted like a true statesman in forsaking his efforts to establish Gotham City as a separate entitlement jurisdiction. Speaking at the end of the public hearing, the Mayor remarked that the arguments presented by those advocating a combined city/county entitlement entity had convinced him that this was a preferable approach. The advocates of the unified approach, whose numbers included Virgil

Voyles, the Director of the current Planning Agency, presented a strong case. Their "witnesses" included several prominent national criminal justice experts.

We hope that this marks a new beginning for successful cooperative planning and action programs for our area. Mr. Voyles emerged as a powerful ally of progressive approaches to solve our crime problem.

We extend our support to him in the hope that he will continue to be an aggressive proponent of an innovative, professional criminal justice system.

# Payneless County

PAYNELESS COUNTY  
CRIMINAL JUSTICE PLANNING AGENCY  
100 COUNTY BUILDING  
GOTHAM CITY, MISERY 00007

FRED NICOLAISON,  
COUNTY MANAGER

October 8, 1979

Mr. Virgil Voyles, Director  
Payneless County Criminal Justice  
Planning Agency  
313 Courthouse Square  
Gotham City, Misery 00007

Dear Virg:

I regret that our meeting today was cut short. I appreciate your understanding tolerance of the interruption. Preparing for a bond referendum is very touchy these days, and I have to be responsive to press inquiries concerning our stand on this issue.

I am extremely interested in your ideas concerning how the Gotham City/Payneless County Criminal Justice Planning Agency should operate. As I have stated to you at our earlier meetings, I am very pleased that entitlement for a unified city/county jurisdiction was approved. I'm also quite pleased that the "powers that be" chose to place the Planning Agency in the County Manager's Office. As I also indicated to you, the extent of my direct knowledge of the Planning Agency when it reported to the Mayor was that it served as a source of funds for certain criminal justice agency activities that were beyond normal budgetary limitations. Based on our brief discussions, I gather that you think the Agency should play a greater role than as a "funnel" for federal monies. To assist me in gaining a greater understanding of your position concerning the Planning Agency's role, could you please prepare for me a brief document stating what you believe the general goals of the Planning Agency should be.

I appreciate your prompt response to this request. I'm really anxious to provide you as much support as possible in helping our City and County criminal justice agencies function more effectively. As I stated to you, I'm sure our working relationship will be far more collegial than the one you would have had with the Mayor--especially during this election year! Please let me know when I can be of assistance to you.

Cordially,

Fred Nicolaison

# Gotham City

GOTHAM CITY  
CRIMINAL JUSTICE PLANNING AGENCY  
313 COURTHOUSE SQUARE  
GOTHAM CITY, MISERY 00007

VIRGIL VOYLES,  
DIRECTOR

October 10, 1979

TO: Richard Williams  
FROM: Virgil Voyles  
TOPIC: Problem Statements

Pursuant to our last conversation, please have your planners in the areas of law enforcement, courts, corrections, and juvenile justice prepare for me Normative Goal Decision Packages describing the key problem in each of their respective areas by November 15. As I indicated to you, this will be most helpful to me in gaining a greater understanding of the ways in which we as a Planning Agency can best contribute to the improvement of the administration of justice in this area.

I appreciate your prompt response to this request.



# Gotham City

GOTHAM CITY  
CRIMINAL JUSTICE PLANNING AGENCY  
313 COURTHOUSE SQUARE  
GOTHAM CITY, MISERY 00007

Richard Williams  
ASSOCIATE DIRECTOR OF  
PLANNING

November 7, 1979

TO: Virgil Voyles, Director  
FROM: Richard Williams, Associate Director of Planning  
TOPIC: Problem Statements

The following Normative Goal Decision Packages are being submitted in response to your October 10, 1979 request. While still not totally familiar with this format and approach, I believe the attached ones will be responsive to your stated needs. Please let me know if you have additional questions.

## NORMATIVE GOAL DECISION PACKAGE

### I. PROBLEM AREA: Law Enforcement

### II. RECOMMENDED NORMATIVE GOAL:

To improve the ability of the law enforcement agencies in Gotham City and Payneless County to respond to the growing crime problems in those areas.

#### A. Initial Concern

The initial concern regarding the law enforcement function was raised by the public outcry regarding crime in the downtown business district. This outcry came from the Downtown Business District Merchants' Association, the Gotham Gazette, and a number of local citizens' groups. Upon closer examination of the situation, as detailed in Step B below, it became evident that the downtown business district was merely the "tip of the iceberg" in the law enforcement area.

#### B. Summary of Analysis Findings

The index crime rate in Gotham City and Payneless County has increased by 13.29% over the past year. Although the increase has been more dramatic within the city limits, there has also been a small but significant increase in the county. The demographic characteristics of the victims and perpetrators are not inconsistent with the same characteristics in other areas of the country. The victims are disproportionately members of the minority groups and the perpetrators are disproportionately undereducated black males, under 18 years of age. Two unusual characteristics of the crime pattern are the disproportionate number of crimes committed in the downtown business district and the disproportionate use of handguns in the perpetration of crimes. The city and county law enforcement agencies are clearing only 76% of the crimes with arrests, 9 percentage points below the national average. The two agencies disperse their personnel by precinct and not by "crime areas," nor do they have specific divisions to deal with juveniles or crime prevention problems. Although the law enforcement problem is highlighted by crime

in the downtown business district, other factors like the preponderance of juveniles and handguns and the lack of a systematic organization of the two law enforcement agencies also come into play. This suggests that it is really an areawide problem, and that addressing only the downtown business district might create a "displacement" effect, moving crime from one area to another.

PROBLEM STATEMENT: LAW ENFORCEMENT

DURING 1978, AN ALL TIME HIGH OF 12,655 INDEX CRIMES OCCURRED IN GOTHAM CITY AND PAYNELESS COUNTY. 9649 OF THOSE CRIMES OR 76.25% OF THEM OCCURRED WITHIN GOTHAM CITY. AS SHOWN FROM TABLE ONE FOR GOTHAM CITY, PAYNELESS COUNTY AND GOTHAM CITY AND PAYNELESS COUNTY COMBINED, THERE WERE RESPECTIVELY 31, 10, AND 41 HOMICIDES; 190, 23 AND 113 RAPES; 1677, 212, AND 1889 ROBBERIES; 3498, 1002 AND 4500 BURGLARIES; 2123, 1508, AND 3631 LARCENIES; 1428, 198 AND 1626 AUTO THEFTS; AND 702, 53, AND 755 AGGRAVATED ASSAULTS WITHIN THE TOTAL METROPOLITAN AREA. THESE FIGURES REPRESENT OVER A ONE AND FIVE YEAR PERIOD RESPECTIVELY A 21% AND 49% INCREASE IN HOMICIDES; A 23% AND 52% INCREASE IN RAPES; A 17% AND 40% INCREASE IN ROBBERIES; A 29% AND 59% INCREASE IN BURGLARIES; A 1% AND 20% INCREASE IN LARCENIES; A 4% AND 20% INCREASE IN AUTO THEFTS; AND A 2% DECREASE OVER THE ONE YEAR PERIOD BUT A 14% INCREASE OVER THE FIVE YEAR PERIOD IN AGGRAVATED ASSAULTS. THERE IS NO REASON TO SUSPECT THAT THE RECENT DRAMATIC INCREASES IN CRIME RATES ARE NOT THE RESULT OF REAL INCREASES AS OPPOSED TO CHANGES IN CITIZEN OR POLICE REPORTING BEHAVIOR, CHANGES IN THE WAY THE RATES ARE FIGURED, CHANGES IN LEGISLATION, ETC.

THIS IS A CONSIDERABLY HIGHER AMOUNT AND INCREASE OF INDEX CRIMES THAN FOR METROPOLITAN AREAS OF EQUIVALENT SIZE THROUGHOUT THE COUNTRY. AS SHOWN FROM TABLE TWO, FOR EXAMPLE, IN AREAS EQUIVALENT IN SIZE, THE AVERAGE PERCENT INCREASE IN INDEX CRIMES WAS 6% FOR A ONE YEAR PERIOD AND 25.29% FOR A FIVE YEAR PERIOD. IN ABSOLUTE FIGURES, THE PAYNELESS COUNTY, GOTHAM CITY METROPOLITAN AREA WAS PARTICULARLY HIGHER IN THE MORE SERIOUS CRIMES OF MURDER (31 VS. 27.2) AND RAPE (190 VS. 143.6) THAN OTHER CITIES OF EQUIVALENT SIZE. ALTHOUGH PAYNELESS COUNTY, EXCLUSIVE OF GOTHAM CITY HAS REMAINED FAIRLY CLOSE TO THE NATIONAL AVERAGE FOR FREQUENCY OF INDEX CRIMES, THERE HAS BEGUN TO BE A SMALL, BUT SIGNIFICANT INCREASE IN THE COUNTY ALSO. THIS CAN BE ATTRIBUTED TO A GENERAL "SPILLOVER" OF CITY PROBLEMS INTO THE COUNTY. FROM POLICE DEMOGRAPHICS,

THE SAME TYPES OF INDIVIDUALS COMMITTING THE CRIMES IN THE CITY ARE ALSO COMMITTING THEM OUTSIDE THE CITY LIMITS IN THE COUNTY.

THE DEMOGRAPHIC BREAKDOWN OF TYPES OF VICTIMS OF THE VARIOUS INDEX CRIMES IS FAIRLY CONSISTENT WITH THE VICTIMIZATION PATTERNS ACROSS THE REST OF THE COUNTRY. IN GOTHAM CITY, 47.4% OF THE POPULATION IS WHITE; 27.7% IS BLACK; 22.6% IS CHICANO; AND 2.3% FALL INTO OTHER ETHNIC CATEGORIES. FOR CITY AND COUNTY COMBINED THE BREAKDOWN IS 59.3% WHITE; 20.2% BLACK; 17.2% CHICANO; AND 3.3% OTHER. THE VICTIMS OF HOMICIDE, RAPE, ROBBERY AND ASSAULT ARE ON THE AVERAGE 65.5% BLACK AND CHICANO AND 34.5% WHITE FOR COUNTY AND CITY COMBINED. THE AGE AND SEX BREAKDOWNS OF THE VICTIMS ARE ALSO CONSISTENT WITH THE AREA'S POPULATION BREAKDOWN.

ONE OF THE MORE UNUSUAL CHARACTERISTICS OF GOTHAM CITY AND PAYNELESS COUNTY'S CRIME PROBLEM LIES IN THE FACT THAT A DISPROPORTIONATE NUMBER OF THE CRIMES ARE BEING COMMITTED IN THE DOWNTOWN BUSINESS DISTRICT. WHILE THIS AREA ACCOUNTS FOR ONLY 20% OF THE ACTUAL LAND IN THE CITY AND 5% OF THE LAND FOR THE ENTIRE METROPOLITAN AREA, IT ACCOUNTED FOR 48.39% AND 36.59% OF THE HOMICIDES WITHIN THE CITY AND ENTIRE AREA RESPECTIVELY, 41.05% AND 36.63% OF THE RAPES, 41.98% AND 37.37% OF THE ROBBERIES, 43.02% AND 33.44% OF THE BURGLARIES, 43.85% AND 25.64% OF THE LARCENIES, 57% AND 50.06% OF THE AUTO THEFTS, AND 62.02% AND 57.75% OF THE AGGRAVATED ASSAULTS. THIS IS DETAILED IN TABLE THREE. THE OCCURRENCE OF THESE CRIMES IS FAIRLY EVENLY DISTRIBUTED THROUGHOUT THE DAYS OF THE WEEK AND MONTHS OF THE YEAR, WITH THE EXCEPTION OF THE FACT THAT 44% OF THE HOMICIDES AND 20% OF THE RAPES ARE COMMITTED ON SATURDAYS.

ANOTHER CHARACTERISTIC OF THE CRIME PROFILE OF GOTHAM CITY AND PAYNELESS COUNTY IS THE DISPROPORTIONATE NUMBER OF HANDGUNS USED IN THE COMMISSION OF THESE OFFENSES: 61.2% OF THE HOMICIDES, 49% OF THE RAPES, 68.59% OF THE ROBBERIES, 29% OF THE AGGRAVATED ASSAULTS. NO DATA IS REPORTED FOR THE TYPE OF WEAPONRY USED IN THE COMMISSION OF BURGLARIES, LARCENIES, AND AUTO THEFTS.

THOSE APPREHENDED FOR COMMITTING THESE OFFENSES ARE GENERALLY BLACK MALES IN THEIR LATE TEENS AND EARLY TWENTIES AS SHOWN IN TABLE IV. SPECIFICALLY AN AVERAGE OF 36.2% OF THE CRIMES WERE COMMITTED BY INDIVIDUALS 18 AND UNDER, WHILE AN AVERAGE OF 52.4% OF THOSE COMMITTING WERE BLACK AND 70.70% WERE MALE. ADDITIONALLY, 75% OF THE INDIVIDUALS IN QUESTION WERE UNEMPLOYED AT THE TIME THE CRIMES WERE COMMITTED, AND HAD LESS THAN 12 YEARS OF EDUCATION.

WITH RESPECT TO PRIOR CRIMINAL HISTORY, 75% OF THOSE OVER 21 AND 65% OF THOSE UNDER 21 WHO COMMITTED AN INDEX OFFENSE HAD A PRIOR CRIMINAL HISTORY. 42% OF THOSE OVER 21 WERE RECIDIVISTS AND 39% OF THOSE UNDER 21 WERE RECIDIVISTS.

LAW ENFORCEMENT IN METROPOLITAN PAYNELESS COUNTY WAS SUCCESSFUL IN CLEARING 26% OF THE CRIMES WITH ARRESTS. THE NATIONAL AVERAGE IN METROPOLITAN AREAS OF SIMILAR SIZE FOR CLEARING INDEX CRIMES BY ARREST IS 35%. LAW ENFORCEMENT IN THE AREA IS COMPRISED OF THE GOTHAM CITY POLICE DEPARTMENT WITH 286 SWORN PERSONNEL AND THE PAYNELESS COUNTY SHERIFF'S DEPARTMENT WITH 502 SWORN PERSONNEL. THE TWO DEPARTMENTS ALLOCATE THEIR RESOURCES FAIRLY EVENLY OVER THEIR GEOGRAPHIC AREAS. EACH DEPARTMENT HAS AN OPERATIONS, PATROL, INVESTIGATIVE, TRAFFIC, ADMINISTRATIVE AND TECHNICAL SERVICES DIVISION. THE PAYNELESS COUNTY SHERIFF'S DEPARTMENT ALSO HAS A COMMUNITY RELATIONS/CRIME PREVENTION UNIT. ADDITIONALLY, IT SERVICES THE PAYNELESS COUNTY COURTS.

THE INDEX CRIME RATE SEEMS TO BE RISING IN GOTHAM CITY AND PAYNELESS COUNTY FASTER THAN THE REST OF THE COUNTRY FOR A NUMBER OF REASONS. LAW ENFORCEMENT IN GOTHAM CITY APPEARS TO BE OVERWORKED AND NOT POSITIONED ACCORDING TO WHERE THE MOST SEVERE PROBLEMS ARE. THE MANAGEMENT IN THE DEPARTMENT HAS BEEN FLOUNDERING ACCORDING TO NEWSPAPER ACCOUNTS AND INTERVIEWS WITH INDIVIDUAL POLICE OFFICERS FOR SOMETIME NOW. THE DOWNTOWN DISTRICT SEEMS TO ACCOUNT FOR A DISPROPORTIONATE AMOUNT OF

THE CRIMES. THIS IS PROBABLY AN OUTGROWTH OF PROBLEMS WITHIN THE POLICE DEPARTMENT, SPECIFICALLY PERSONNEL ALLOCATION AND A LACK OF ANY CONSISTENT EFFORTS TO HELP THE CITIZENS MOUNT ANY CRIME PREVENTION EFFORTS. THIS GENERAL "CRIME WAVE" HAS NOT ONLY SPREAD TO OTHER PARTS OF GOTHAM CITY PROPER, BUT ALSO INTO PAYNELESS COUNTY. AS BUSINESSES AND INDIVIDUALS FLEE THE DOWNTOWN BUSINESS DISTRICT FOR FEAR OF VICTIMIZATION, THE CRIMINALS ALSO LEAVE THE DISTRICT IN SEARCH OF MORE VICTIMS.

FINALLY, A DISPROPORTIONATE NUMBER OF JUVENILES SEEM TO BE INVOLVED IN THE COMMISSION OF INDEX CRIMES. FURTHERMORE, THESE JUVENILES TEND TO FIT THE PROFILE OF THE HARD-CORE UNEMPLOYED AND UNEMPLOYABLE BLACKS. THERE IS NO SPECIFIC DIVISION IN EITHER THE GOTHAM CITY OR PAYNELESS COUNTY LAW ENFORCEMENT AGENCIES FOR DEALING WITH JUVENILES. THE CITY AND COUNTY HAVE ALSO BEEN REMISS IN DEVELOPING COMMUNITY ALTERNATIVES TO INCARCERATION AND JUVENILE DIVERSION PROGRAMS. THIS MAY ACCOUNT FOR THE LARGE NUMBER OF JUVENILES COMMITTING INDEX CRIMES.

TABLE ONE  
INDEX CRIME FREQUENCIES

	<u>TYPE OF CRIME</u>	<u>FREQUENCY IN GOTHAM CITY</u>	<u>FREQUENCY PAYNELESS COUNTY</u>	<u>TOTAL FREQUENCY GOTHAM CITY PAYNELESS COUNTY</u>	<u>NAT'L AVG. CITIES EQUIVALENT TO GOTHAM CITY</u>	<u>NAT'L AVG. METROPOLITAN AREAS EQUIVALENT TO GOTHAM CITY &amp; PAYNELESS COUNTY</u>
	HOMICIDE	31	10	41	27.2	40.8
	RAPE	190	23	213	143.6	215.4
CS 3-14	ROBBERY	1677	212	1889	1217.0	1825.5
	BURGLARY	3498	1002	4500	2897.6	4346.4
	LARCENY	2123	1508	3631	3624.0	5436.0
	AUTO THEFT	1428	198	1626	921.5	1382.25
	AGGRAVATED ASSAULT	702	53	755	652.4	978.6



TABLE TWO

## PERCENT CHANGE IN INDEX CRIMES

<u>TYPE OF CRIME</u>	<u>% CHANGE 1 YEAR METRO. AREA</u>	<u>% CHANGE 5 YEARS METRO. AREA</u>	<u>% CHANGE 1 YEAR</u> CITIES EQUIVALENT TO PAYNELESS CO./ GOTHAM CITY METRO. AREA	<u>% CHANGE 5 YEARS</u> CITIES EQUIVALENT TO PAYNELESS CO./ GOTHAM CITY METRO. AREA
HOMICIDE	+21%	+49%	+12%	+32%
CS 3-15 RAPE	+23%	+52%	+14%	+38%
ROBBERY	+17%	+40%	+07%	+20%
BURGLARY	+29%	+59%	+17%	+41%
LARCENY	+01%	+20%	+02%	+19%
AUTO THEFT	+04%	+20%	-06%	+15%
AGGRAVATED ASSAULT	-02%	+14%	-04%	+12%
AVERAGE	+ 13.29%	+ 36.29%	+ 06%	+ 25.29%

TABLE THREE

## PROFILE OF CRIME RATE IN BUSINESS DISTRICT

<u>TYPE OF CRIME</u>	<u>BUSINESS DISTRICT FREQUENCY</u>	<u>BUSINESS DISTRICT'S PERCENTAGE OF CITY-WIDE CRIMES</u>	<u>BUSINESS DISTRICT'S PERCENTAGE OF AREAWIDE CRIMES</u>
HOMICIDE	15	48.39%	36.59%
RAPE	78	41.05%	36.62%
ROBBERY	704	41.98%	37.27%
BURGLARY	1505	43.02%	33.44%
LARCENY	931	43.85%	25.64%
AUTO THEFT	814	57.00%	50.06%
AGGRAVATED ASSAULT	436	62.02%	57.75%

CS 3-16

TABLE FOUR

DEMOGRAPHICS OF PERSONS APPREHENDED FOR INDEX CRIMES  
IN GOTHAM CITY AND PAYNELESS COUNTY FOR 1978

	<u>TYPE OF CRIME</u>	<u>18 YEARS</u>	<u>19-30</u>	<u>31+</u>	<u>MALE</u>	<u>BLACK</u>	<u>WHITE</u>	<u>CHICANO</u>
		<u>&amp; UNDER</u>	<u>YEARS</u>	<u>YEARS</u>				
CS 3-17	HOMICIDE	32.0%	40.4%	27.6%	61.5%	53.0%	25.2%	21.8%
	RAPE	29.0%	53.8%	17.2%	100.0%	59.0%	19.8%	21.2%
	ROBBERY	41.0%	39.2%	19.8%	70.0%	52.1%	28.2%	19.7%
	BURGLARY	30.3%	44.1%	25.6%	73.0%	49.9%	29.3%	21.1%
	LARCENY	35.0%	43.8%	21.2%	58.0%	52.3%	20.0%	27.7%
	AUTO THEFT	56.0%	22.1%	21.9%	63.0%	46.2%	32.8%	21.0%
	AGGRAVATED ASSAULT	30.2%	48.8%	21.0%	69.2%	54.6%	26.8%	18.6%
	AVERAGE	36.2%	41.7%	22.0%	70.7%	52.4%	26.0%	21.6%

NOTE:

THE DEMOGRAPHICS OF INDIVIDUALS SUSPECTED OF COMMITTING  
THE INDEX CRIMES ARE CONSISTENT WITH THOSE PRESENTED ABOVE.

## NORMATIVE GOAL DECISION PACKAGE

### I. PROBLEM AREA: Adult Corrections

### II. RECOMMENDED NORMATIVE GOAL:

To increase locally available treatment opportunities for probationers, inmates, and parolees in Gotham City/Payneless County.

#### A. Initial Concern

There was a public hue and cry over the rape of a daughter of a prominent citizen by a probationer. The newspapers and local citizens' groups came out strongly in favor of doing something more for local probationers. On closer examination of the problem (See Step B), it was discovered that probationers, inmates, and parolees lack adequate community-based rehabilitative services.

#### B. Summary of Analysis Findings

The metropolitan area has correctional responsibility only for individuals awaiting trial and misdemeanants. The State funds Probation/Parole Officers who have average caseloads of 50. Some jurisdictions within the State of Misery augment the number of officers; the Gotham/Payneless Area does not. While the jail facilities are excellent, with all of the current monitoring devices no other correctional services -- e.g. halfway houses -- are available.

PROBLEM STATEMENT: ADULT CORRECTIONS

WHILE THE PAYNELESS COUNTY/GOTHAM CITY METROPOLITAN AREA SPECIFICALLY HAS CORRECTIONAL RESPONSIBILITIES ONLY FOR MISDEMEANANTS AND THOSE AWAITING TRIAL, THE METROPOLITAN AREA HAS CONSISTENTLY REFUSED TO TAKE ANY INITIATIVE IN PROVIDING REHABILITATIVE SERVICES FOR THE INMATES UNDER THEIR JURISDICTION OR INMATES RETURNING FROM THE STATE SYSTEM TO THEIR JURISDICTION. SPECIFICALLY, THERE ARE ONLY CUSTODIAL SERVICES FOR INMATES IN THE METROPOLITAN AREA; THERE ARE NO REHABILITATIVE OR "TREATMENT ORIENTED" PROGRAMS. IN 1972-1974, THE METROPOLITAN AREA RECEIVED A GRANT FROM THE STATE TO CONDUCT A STUDY RELEASE PROGRAM FOR MISDEMEANANTS. THERE WAS NO TRACKING OF THOSE INVOLVED IN THE PROGRAM, BUT PARTICIPANTS AND LAW ENFORCEMENT OFFICIALS ALIKE FELT AS IF THE PROGRAM WAS BENEFICIAL. NEVERTHELESS, ONCE THE STATE MONEY RAN OUT AFTER TWO YEARS OF FUNDING, THE LOCAL GOVERNMENTS DECLINED TO PICK UP FUNDING FOR THE PROGRAM.

THE PRE-TRIAL DETAINEES AND MISDEMEANANTS IN THE JAIL CONSTITUTE AN AVERAGE DAILY POPULATION OF 55. THIS IS 69% OF THE JAIL'S CAPACITY. THE MAXIMUM TIME UNINTERRUPTED INCARCERATION IS ONE YEAR. THE MORE TRUSTED INMATES ARE RESPONSIBLE FOR KEEPING THE JAIL AND LAW ENFORCEMENT ADMINISTRATION BUILDING CLEAN. THE OTHER INMATES REMAIN IN THEIR CELLS PLAYING CARDS, LISTENING TO RADIOS, WATCHING TV, ETC.

THE ACTUAL JAIL IS ONLY FIVE YEARS OLD AND CONTAINS ELABORATE MONITORING SYSTEMS. IT IS ALWAYS CLEAN AND WELL PATROLLED. THERE ARE AT ALL TIMES TEN DEPUTY SHERIFFS ON DUTY WHICH IS WELL IN EXCESS OF THE NATIONAL AVERAGE INMATE/JAILER RATIO.

ALTHOUGH NOT WITHIN THE ORIGINAL JURISDICTION OF THE METROPOLITAN AREA, THERE ARE ON A MONTHLY AVERAGE 792 INDIVIDUALS ON PROBATION OR PAROLE LIVING WITHIN THE GEOGRAPHIC AREA OF PAYNELESS COUNTY/GOTHAM CITY. A TOTAL OF 16 PROBATION/PAROLE OFFICERS WHO WORK FOR THE STATE DEPARTMENT OF CORRECTION ARE RESPONSIBLE FOR THESE 792 PROBATIONERS AND PAROLEES. THIS MAKES EACH

OFFICER'S CASELOAD AN AVERAGE OF 50 PROBATIONERS AND/OR PAROLEES. THIS CASELOAD IS WELL ABOVE THE MAXIMUM OF 35 THAT IS RECOMMENDED BY THE NATIONAL INSTITUTE FOR CORRECTIONS. SEVERAL OTHER JURISDICTIONS WITHIN THE STATE OF MISERY HAVE PITCHED IN LOCAL MONIES TO SUPPORT MORE OFFICERS TO BRING THE CASELOADS DOWN TO AROUND 35. THE PAYNELESS COUNTY/GOTHAM CITY METROPOLITAN AREA HAS CHOSEN NOT TO DO THIS. AS A RESULT, THE BEST THAT THE PROBATION/PAROLE OFFICERS IN THE AREA CAN DO IS TO PROVIDE MONITORING SERVICES. THEY HAVE REPEATEDLY TOLD THEIR SUPERIORS THAT THEY ARE UNABLE TO PROVIDE ANY COUNSELING OR REHABILITATIVE SERVICES.

FINALLY, THERE ARE NO COMMUNITY-BASED TREATMENT FACILITIES WITHIN THE METROPOLITAN AREA. MANY JURISDICTIONS IN THE STATE OF MISERY HAVE FUNDED HALFWAY HOUSES AND OTHER TYPES OF COMMUNITY BASED PROGRAMS. THIS HAS NOT BEEN DONE IN PAYNELESS COUNTY/GOTHAM CITY.

ALONG WITH THE LACK OF REHABILITATIVE PROGRAMS IS A HIGH RECIDIVIST RATE. 75% OF THE INDIVIDUALS OVER 21 AND 65% OF THOSE UNDER 21 ARRESTED FOR AN INDEX OFFENSE IN PAYNELESS COUNTY/GOTHAM CITY HAD A PRIOR CRIMINAL HISTORY, WHILE 43% OF THOSE ARRESTED FOR AN INDEX CRIME AND 39% OF THOSE UNDER 21 WERE RECIDIVISTS. THESE RATES ARE APPROXIMATELY 10% ABOVE THE NATIONAL AVERAGES. ALTHOUGH NO STATISTICAL LINK CAN BE MADE BETWEEN THE RECIDIVIST RATES AND THE LACK OF REHABILITATIVE PROGRAMS, MANY CRIMINAL JUSTICE OFFICIALS HAVE STATED THEY BELIEVE THE LACK OF PROGRAMS IS CONTRIBUTING TO THE HIGH RECIDIVIST RATES.

## NORMATIVE GOAL DECISION PACKAGE

### I. PROBLEM AREA: Juvenile Justice

### II. RECOMMENDED NORMATIVE GOAL:

To establish community-based diversionary and treatment programs for juveniles.

#### A. Initial Concern

The initial concern came from the law enforcement segment of the community. They expressed, through the local Fraternal Order of Police, a desire to crack down harder on the juveniles through arrest and incarceration. After a closer look at the problem (See Step B), it became apparent that the arrest rate for juveniles is actually on par with the national average; it is the response of the criminal justice system to these juveniles after they have been arrested that is deficient.

#### B. Summary of Analysis Findings

The number of index crimes committed by juveniles has risen 13.3% in the past year. A disproportionate amount of the crime is occurring in the downtown business district with the aid of a handgun and affecting the elderly. Additionally, a disproportionate number of the juvenile perpetrators are either black or chicano. Thirty-five percent of the crimes suspected of being committed by juveniles are cleared by arrest; this is consistent with national averages. What is inconsistent is how juveniles are handled after arrest. Only 15% of the arrested juveniles have petitions filed against them by the District Attorney, while the other 85% receive "slaps on the wrist." No services are currently available for this 85%. Of the cases where petitions are filed, 85% are convicted, and 45% of the convictees go to the state correctional facilities, where little "rehabilitative" programming is available. The other 55% are placed on probation. The probation program combines a small caseload (15) with intensive treatment services; the result is a very low re-arrest rate (25%) for former

juvenile probationers. In essence, little attempt is made across the board at providing treatment for juveniles, but where treatment is provided by juvenile probation officers, the results are impressive.



PROBLEM STATEMENT: JUVENILE JUSTICE

DURING 1978, THE NUMBER OF INDEX CRIMES COMMITTED BY JUVENILES REACHED AN ALL-TIME HIGH OF 4242 IN GOTHAM CITY AND 4622 IN GOTHAM CITY/PAYNELESS COUNTY METROPOLITAN AREA. THE PERCENTAGE OF INDEX CRIMES COMMITTED BY JUVENILES RANGED FROM A HIGH OF 59% OF THE AUTO THEFTS IN THE CITY TO A LOW OF 30.2% OF THE AGGRAVATED ASSAULTS IN THE CITY AND COUNTY COMBINED. THIS IS SHOWN IN TABLE FIVE.

THIS NUMBER OF CRIMES REPRESENTS A STARTLING INCREASE OVER THOSE COMMITTED ONE YEAR AGO (1977) AND FIVE YEARS AGO (1973) BY THE SAME AGE GROUP. AS CAN BE SEEN FROM TABLE SIX, THE NUMBER OF INDEX CRIMES COMMITTED BY JUVENILES ROSE AN AVERAGE OF 17.4% OVER THE PAST YEAR AND AN AVERAGE OF 40% OVER THE PAST FIVE YEARS. THIS IS COMPARED TO A 13.3% AND A 36.3% RISE IN INDEX CRIMES OVER THE PAST ONE AND FIVE YEARS RESPECTIVELY IN GOTHAM CITY.

THE TYPES OF PEOPLE VICTIMIZED FOR THE LOCAL CRIMES ARE CONSISTENT WITH THE VICTIMIZATION PATTERNS ACROSS THE COUNTRY. THE VICTIMS OF HOMICIDES, RAPES, ROBBERIES, AND ASSAULTS ARE 65.5% BLACK AND CHICANO FOR THE METROPOLITAN AREA. THERE IS SOME INDICATION FROM A RECENT VICTIMIZATION STUDY THAT A DISPROPORTIONATE NUMBER OF VICTIMS IN THE DOWNTOWN BUSINESS DISTRICT ARE 65 AND OVER. THIS AGE GROUP MAKES UP 10.24% OF THE POPULATION AS A WHOLE, BUT REPRESENTS 26.8% OF THE VICTIMS OF INDEX CRIMES IN THE BUSINESS DISTRICT. THERE ARE NO FIGURES ON WHETHER OR NOT JUVENILES ARE VICTIMIZING THE ELDERLY AT A GREATER RATE THAN THE CRIMINAL ELEMENT AS A WHOLE. WITHOUT DATA TO THE CONTRARY, THE ONLY ASSUMPTION TO BE MADE IS THAT THE JUVENILES ALONG WITH THE REMAINDER OF THE CRIMINAL ELEMENT, ARE VICTIMIZING THE ELDERLY TO A GREATER EXTENT IN THE DOWNTOWN BUSINESS DISTRICT. IT HAS BEEN SUGGESTED IN THE PRESS THAT THE ELDERLY ARE BEING VICTIMIZED AT A GREATER RATE THAN OTHERS IN THIS AREA BECAUSE THEY RELY MORE HEAVILY ON THE SHOPS IN THIS AREA DUE TO THE ACCESSIBILITY OF THESE SHOPS FROM PUBLIC TRANSPORTATION AND THE RETIREMENT HOMES.

ANOTHER CHARACTERISTIC OF THE CRIME IN THE METROPOLITAN AREA IS THAT 61.2% OF THE HOMICIDES, 49% OF THE RAPES, 68.59% OF THE ROBBERIES, AND 29% OF THE AGGRAVATED ASSAULTS ARE COMMITTED WITH THE AID OF A HANDGUN. THIS IS TRUE WHETHER THE PERPETRATOR IS A JUVENILE OR AN ADULT.

THE JUVENILES COMMITTING THE CRIMES, AS CAN BE SEEN FROM TABLE FIVE, ARE LIKELY TO BE BLACK OR CHICANO. THIS IS EVEN MORE LIKELY TO BE THE CASE IF ONLY GOTHAM CITY IS TAKEN INTO ACCOUNT AS OPPOSED TO THE ENTIRE METROPOLITAN AREA. FURTHERMORE, 75% OF THE JUVENILES ARE UNEMPLOYED AND HAVE LESS THAN A HIGH SCHOOL EDUCATION.

WITH RESPECT TO PRIOR CRIMINAL HISTORY 65% OF THE INDIVIDUALS UNDER 21 WHO COMMITTED AN INDEX OFFENSE IN 1978 HAD A CRIMINAL RECORD, AND 39% OF THEM WERE RECIDIVISTS.

LAW ENFORCEMENT AGENCIES WERE SUCCESSFUL IN CLEARING 35% OF ALL THE INDEX CRIMES COMMITTED BY JUVENILES. THE NATIONAL AVERAGE FOR SAME-SIZED CITIES IS 35%. NEITHER THE GOTHAM CITY NOR THE PAYNELESS COUNTY LAW ENFORCEMENT AGENCIES HAVE DIVISIONS FOR DEALING SPECIFICALLY WITH JUVENILES. BOTH LAW ENFORCEMENT AGENCIES MAINTAIN THAT THEY HANDLE JUVENILE AND ADULT ARRESTS IN A SIMILAR MANNER.

AFTER APPREHENSION, A JUVENILE IS PLACED IN ONE OF THE TWO JUVENILE DETENTION FACILITIES MAINTAINED BY THE PAYNELESS COUNTY SHERIFF'S DEPARTMENT. EACH FACILITY HOUSES 25 JUVENILES. DURING THE PAST FIVE YEARS THERE HAVE BEEN EIGHT RECORDED INSTANCES WHEN THE FACILITIES WERE UNABLE TO ACCEPT JUVENILES FOR LACK OF SPACE. ON FOUR OCCASIONS THE SUSPECTS WERE SIMPLY RELEASED, ON THE OTHER FOUR OCCASIONS THEY WERE PLACED IN THE COUNTY'S ADULT FACILITIES BECAUSE OF THE SEVERITY OF THE CRIMES THEY COMMITTED. THE DETENTION HOUSES ARE ONLY "HOLDING" FACILITIES. BY LAW, A JUVENILE CAN ONLY STAY THERE TEN DAYS BEFORE BEING BROUGHT UP BEFORE

JUVENILE COURT. THIS LAW IS UPHELD IN SPIRIT AND IN FACT.

ONCE A JUVENILE IS DETAINED, THE D.A. HAS THE OPTION OF FILING A PETITION AGAINST (PROSECUTING) THAT JUVENILE. IN THE GOTHAM CITY/PAYNELESS COUNTY METROPOLITAN AREA ONLY 15% OF THE JUVENILE ARRESTS ARE FILED. THE REMAINING 85% RECEIVE A "SLAP ON THE WRIST"; OF THE CASES FILED, 85% ARE FOUND GUILTY; OF THOSE FOUND GUILTY 45% ARE SENT TO THE STATE'S JUVENILE CORRECTIONAL FACILITY AND 55% ARE PLACED ON PROBATION.

THE JUVENILE PROBATION SYSTEM IS ADMINISTERED BY THE COURT IN THE METROPOLITAN AREA. THE AVERAGE CASELOAD IS ONLY 15 JUVENILES, WHICH IS WELL BELOW THE NATIONAL AVERAGE OF 50. THE GOVERNOR OF THE STATE OF MISERY HAS AWARDED THE GOTHAM CITY/PAYNELESS COUNTY JUVENILE PROBATION DEPARTMENT WITH A COMMENDATION FOR OUTSTANDING SERVICE AS A LOCAL CRIMINAL JUSTICE AGENCY FOR THE PAST THREE YEARS. THE JUVENILE PROBATION OFFICERS REPORT AT LEAST WEEKLY PERSONAL CONTACT WITH EACH MEMBER OF THEIR CASELOAD. INTERESTINGLY, THE RE-ARREST RATE FOR FORMER JUVENILE PROBATIONERS IS 25% LOWER THAN FOR JUVENILES WHO HAVE HAD CONTACT WITH OTHER PARTS OF THE LOCAL CRIMINAL JUSTICE SYSTEM EXCEPT PROBATION (I.E. POLICE, COURTS).

THE JUVENILES WHO ARE SENT TO THE STATE DEPARTMENT OF JUVENILE CORRECTIONS GO TO ONE OF SEVEN JUVENILE FACILITIES ACROSS THE STATE OF MISERY. VERY LITTLE IN THE WAY OF "REHABILITATIVE" PROGRAMMING IS DONE IN THESE FACILITIES.

AT ALMOST EVERY POINT IN THE CRIMINAL JUSTICE SYSTEM LITTLE IF ANYTHING IS DONE TO DISSUADE JUVENILES FROM COMMITTING MORE CRIMES. AT ARREST JUVENILES ARE TREATED LIKE ADULTS, WITH NO SPECIFIC JUVENILE DIVERSIONARY PROGRAMS OR COMMUNITY-BASED TREATMENT FACILITIES CATERING TO THE SPECIFIC NEEDS OF THE JUVENILES INVOLVED. AFTER ARREST ONLY 15% OF THE JUVENILES ARE ACTUALLY TAKEN TO COURT. THIS MAY BE CREATING A SITUATION IN WHICH THE JUVENILES ARE NOT AS AFRAID TO COMMIT A CRIME BECAUSE EVEN IF THEY ARE ARRESTED, THEY HAVE AN 85%

CHANCE OF BEING TURNED FREE. FINALLY, THE STATE DEPARTMENT OF JUVENILE CORRECTIONS OFFERS LITTLE IF ANYTHING IN THE WAY OF REHABILITATIVE PROGRAMS AND THE METROPOLITAN AREA HAS NO COMMUNITY-BASED ALTERNATIVES TO CORRECTIONS. THE ONLY "BRIGHT" SPOT IN THE LOCAL JUVENILE JUSTICE SYSTEM APPEARS TO BE THE JUVENILE PROBATION PROCESS.

AN ADDITIONAL SITUATION HAS BEEN CITED BY THE PRESS AS PROBABLY AGGRAVATING AN ALREADY BAD JUVENILE CRIME PROBLEM. TWO YEARS AGO, THE PUBLIC SCHOOLS IN GOTHAM CITY TOOK OUT ALL OF THEIR ATHLETIC PROGRAMS IN AN EFFORT TO SAVE MONEY. AT THE SAME TIME, ALL OF THE PUBLIC GYMNASIUMS WERE CONVERTED TO OTHER USES. THIS HAS TAKEN AWAY ONE OF THE ONLY "OUTLETS" FOR MANY "INNER-CITY" YOUTH.

TABLE FIVE

PERCENTAGES OF JUVENILES SUSPECTED OF  
COMMITTING CRIMES

<u>TYPE OF CRIME</u>	<u>% OF ARRESTEES 18 YRS. &amp; UNDER CITYWIDE</u>	<u>% OF ARRESTEES 18 YRS. &amp; UNDER COUNTY &amp; CITY</u>	<u>% OF ARRESTEES BLACK OR CHICANO CITYWIDE</u>	<u>% OF ARRESTEES BLACK OR CHICANO COUNTY &amp; CITY</u>
HOMICIDE	43.2%	32.0%	80.0%	74.8%
RAPE	32.1%	29.0%	85.0%	80.2%
ROBBERY	45.0%	41.0%	80.0%	71.8%
BURGLARY	38.1%	30.3%	71.0%	71.0%
LARCENY	48.0%	35.0%	67.0%	80.0%
AUTO THEFT	59.0%	56.0%	58.0%	67.2%
AGGRAVATED ASSAULT	31.0%	30.2%	78.0%	73.2%

NOTE:

THE ACTUAL PERCENTAGES OF JUVENILES ARRESTED FOR COMMITTING INDEX CRIMES  
ARE ALSO CONSISTENT WITH THESE PERCENTAGES.

TABLE SIX

JUVENILES SUSPECTED OF COMMITTING  
INDEX CRIMES

CS 3-28	<u>TYPE OF CRIME</u>	<u>FREQUENCY IN GOTHAM CITY</u>	<u>FREQUENCY IN PAYNELESS CO. &amp; GOTHAM CITY</u>	<u>% INCREASE OVER 1977 FOR METRO. AREA</u>	<u>% INCREASE OVER 1973 FOR METRO. AREA</u>
	HOMICIDE	13	13	23%	51%
	RAPE	61	62	26%	55%
	ROBBERY	755	774	20%	43%
	BURGLARY	1333	1363	34%	59%
	LARCENY	1010	1271	09%	28%
	AUTO THEFT	843	911	07%	23%
	AGGRAVATED ASSAULT	218	228	03%	21%

NORMATIVE GOAL DECISION PACKAGE

I. PROBLEM AREA: The Courts

II. RECOMMENDED NORMATIVE GOAL:

To increase the prosecutorial and public defender capacities in Gotham City/Payneless County.

A. Initial Concern

The District Attorney has, in the past several years, been trying to get funding from a variety of sources for additional attorneys for her staff. Upon closer examination of the problem (See Step B), it was apparent that the public defender would need a concomitant increase in staff and that other alternatives to increased numbers of attorneys are available.

B. Summary of Analysis Findings

Only 53% of the adults and 15% of the juveniles arrested for the commission of index crimes were prosecuted by the District Attorney's office during the past year. Although conviction rates are high, these prosecution rates are low compared to national averages. Concomitantly, the D.A. has about one-half of the staff that other D.A.'s in like-sized cities have, and the Public Defender's Office has about two-thirds of the staff in comparable offices. An increase in the number of attorneys for the D.A. would necessitate a concurrent increase in the number of attorneys for the Public Defender.

PROBLEM STATEMENT: THE COURTS

IN THE PAYNELESS COUNTY, GOTHAM CITY METROPOLITAN AREA DURING 1978 AN ALL-TIME LOW OCCURRED IN THE NUMBER OF CASES INVOLVING INDEX CRIMES THAT WERE PROSECUTED BY THE DISTRICT ATTORNEY. ONLY 53% OF THE ADULT OFFENDERS ARRESTED FOR AN INDEX CRIME WERE PROSECUTED BY THE DISTRICT ATTORNEY AND ONLY 15% OF THE JUVENILE OFFENDERS ARRESTED FOR AN INDEX CRIME HAD PETITIONS FILED (WERE PROSECUTED) BY THE DISTRICT ATTORNEY. FIGURES 1-3 ARE FLOW CHARTS THAT GRAPHICALLY DEPICT THIS PROBLEM. THE PERCENTAGE OF CASES PROSECUTED BY THE DISTRICT ATTORNEY HAS BEEN STEADILY DECREASING OVER THE PAST 10 YEARS. IN 1967, 67% OF THE ADULTS AND 29% OF THE JUVENILES ARRESTED FOR INDEX CRIMES WERE PROSECUTED; IN 1972, 60% OF THE ADULTS AND 22% OF THE JUVENILES ARRESTED WERE PROSECUTED. ALONG WITH THE STEADY DECREASE IN PERCENTAGE OF ARRESTEES PROSECUTED HAS BEEN A CONCURRENT INCREASE IN THE NUMBER OF INDEX CRIMES COMMITTED. THE INCREASE HAS BEEN ON THE AVERAGE OF 13.29% OVER THE PAST YEAR AND 36.29% OVER THE PAST 5 YEARS. (SEE TABLE TWO.)

JUVENILES HAVE THE HIGHEST LIKELIHOOD OF NOT BEING PROSECUTED. UPON COMMISSION OF A CRIME, A JUVENILE HAS A 26% CHANCE OF BEING ARRESTED AND IF ARRESTED A 15% CHANCE OF BEING PROSECUTED, OR AN OVERALL 3.9% CHANCE OF BEING PROSECUTED ONCE AN INDEX OFFENSE IS COMMITTED IN THE METROPOLITAN AREA. BECAUSE THE ODDS IN FAVOR OF PROSECUTION ARE SO SLIM, MANY JUVENILES MAY BE COMMITTING MORE CRIMES THINKING THEY CAN "GET AWAY WITH THEM".

ALTHOUGH THE CHANCE OF BEING PROSECUTED IS ALARMINGLY LOW FOR ARRESTED JUVENILES, IT IS ALSO LOW (53%) FOR ARRESTED ADULTS.



THE NATIONAL AVERAGE FOR PROSECUTION OF ARRESTED ADULTS IN LIKE-SIZED METROPOLITAN AREAS IS 65%, A FULL 12% BETTER THAN THE PAYNELESS COUNTY/GOTHAM CITY METROPOLITAN AREA.

IT HAS BEEN SUGGESTED BY LAW ENFORCEMENT OFFICIALS, THE PRESS AND THE DISTRICT ATTORNEY'S OFFICE THAT THE RELATIVELY LOW LIKELIHOOD OF PROSECUTION MAY BE HELPING TO CONTRIBUTE TO THE INCREASED CRIME RATE IN THE METROPOLITAN AREA IN GENERAL AND THE DOWNTOWN BUSINESS DISTRICT IN PARTICULAR. NO DATA ARE AVAILABLE TO SUPPORT OR REFUTE THIS CONTENTION.

THE PAYNELESS COUNTY/GOTHAM CITY METROPOLITAN AREA FUNDS A DISTRICT ATTORNEY FOR THE ENTIRE AREA WITH A STAFF OF 18, 8 OF WHOM ARE ATTORNEYS. THE STATE OF MISERY FUNDS A PUBLIC DEFENDER'S OFFICE FOR THE AREA WITH A STAFF OF 12, 5 OF WHOM ARE ATTORNEYS. THE COURTS ARE SET UP SUCH THAT THE MUNICIPAL COURT IS SUPPORTED BY LOCAL TAXES, FINES, ETC. AND HAS ORIGINAL JURISDICTION FOR ALL MISDEMEANOR AND TRAFFIC CASES WITHIN THE METROPOLITAN AREA. WITH A STAFF OF FOUR JUDGES, THE MUNICIPAL COURT ALSO CONDUCTS FIRST ADVISEMENTS ON FELONY CASES. THE DISTRICT COURT WITH 2½ JUDGES IS PART OF THE STATE SYSTEM AND HAS ORIGINAL JURISDICTION FOR ALL FELONY CASES IN THE METROPOLITAN AREA. FINALLY, THE JUVENILE COURT WITH 3 JUDGES IS PART OF THE STATE SYSTEM AND HAS ORIGINAL JURISDICTION IN ALL CASES INVOLVING JUVENILES 18 YEARS AND YOUNGER. THE STAFF SIZE OF ALL THESE COURT SYSTEMS IS CONSISTENT WITH THOSE OF METROPOLITAN AREAS OF SIMILAR SIZE.

ONCE THE DECISION IS MADE TO PROSECUTE AN ADULT CASE (SEE FIGURE TWO), 86% OF THE CASES WERE BOUND OVER TO DISTRICT COURT WHERE IN 61% OF THE INSTANCES IN WHICH A TRIAL IS HELD, OR 21% OF THE OVERALL NUMBER OF FILINGS, A CONVICTION IS RECEIVED. ONCE THE DECISION IS MADE TO PROSECUTE A JUVENILE (SEE FIGURE THREE), 93% (165 OUT OF 177 CASES) ARE CONVICTED (PETITION SUSTAINED). FOR BOTH ADULT AND JUVENILE CASES

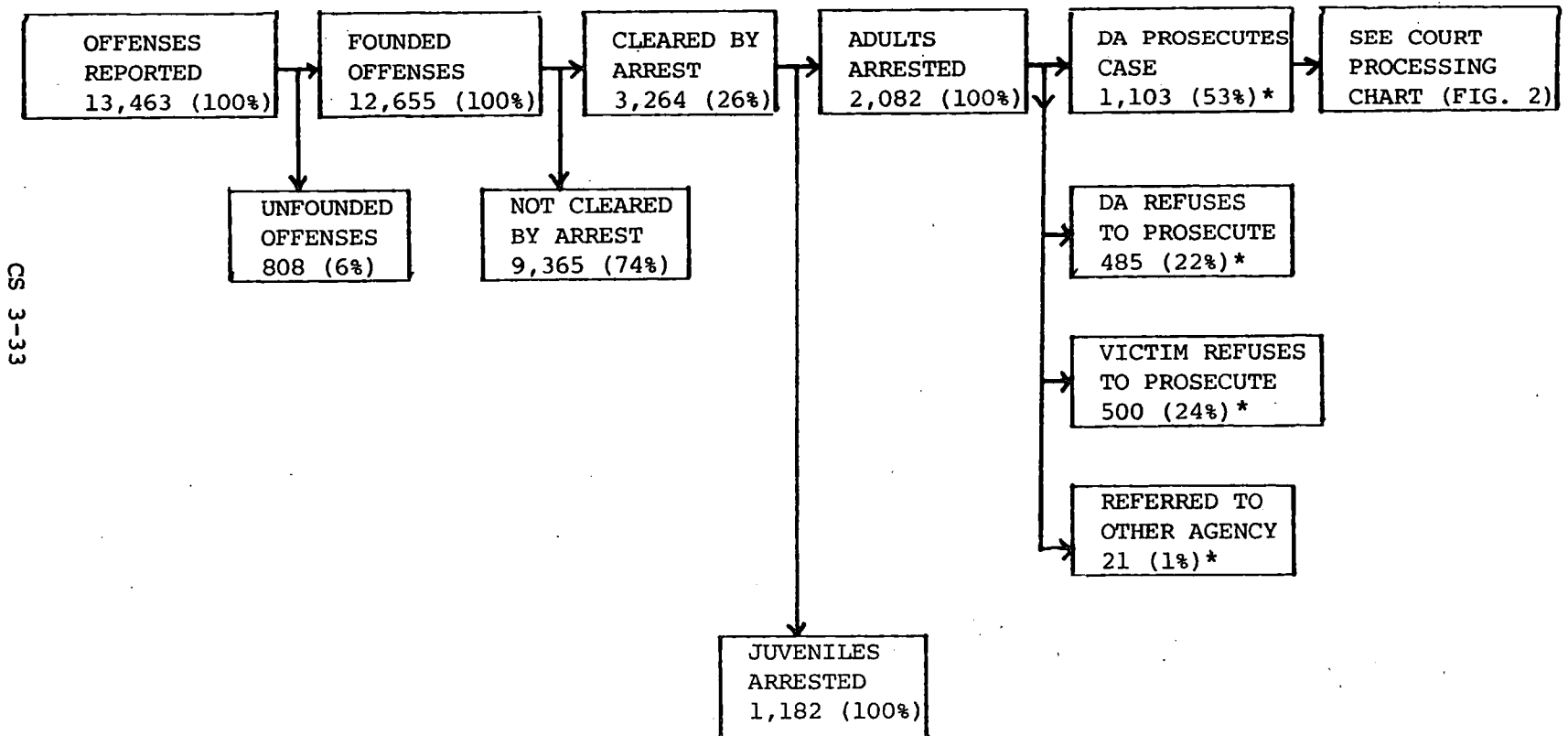
THIS CONVICTION RATE IS CONSISTENT WITH OTHER METROPOLITAN AREAS OF SIMILAR SIZE.

THE PAYNELESS COUNTY/GOTHAM CITY METROPOLITAN AREA IS NOT CONSISTENT WITH OTHER LIKE-SIZED AREAS WHEN IT COMES TO THE STAFFING OF THE DISTRICT ATTORNEY'S AND PUBLIC DEFENDER'S OFFICES. THE AVERAGE SIZE OF A DISTRICT ATTORNEY'S OFFICE IS 29 WITH 14 ATTORNEYS, WHILE THE AVERAGE PUBLIC DEFENDER'S OFFICE IS 17 WITH 8 ATTORNEYS. THE PAYNELESS COUNTY/GOTHAM CITY DISTRICT ATTORNEY HAS ALMOST HALF THE ATTORNEYS OTHER D.A.'S HAVE, WHILE THE PUBLIC DEFENDER HAS ABOUT TWO-THIRDS THE ATTORNEYS OTHER PUBLIC DEFENDERS HAVE.

WHAT HAS HAPPENED IS, THAT WHILE THE DISTRICT ATTORNEY IS ATTAINING ROUGHLY THE SAME CONVICTION RATE AS OTHER D.A.'S, SHE IS UNDERSTAFFED AND THUS UNABLE TO PROSECUTE AS MANY CASES AS OTHER D.A.'S. CURRENTLY, THE PUBLIC DEFENDER IS UNDERSTAFFED, SO THAT SHE WOULD BE UNABLE TO DEFEND ANY MORE CASES EVEN IF THE D.A. COULD PROSECUTE MORE.

FIGURE ONE

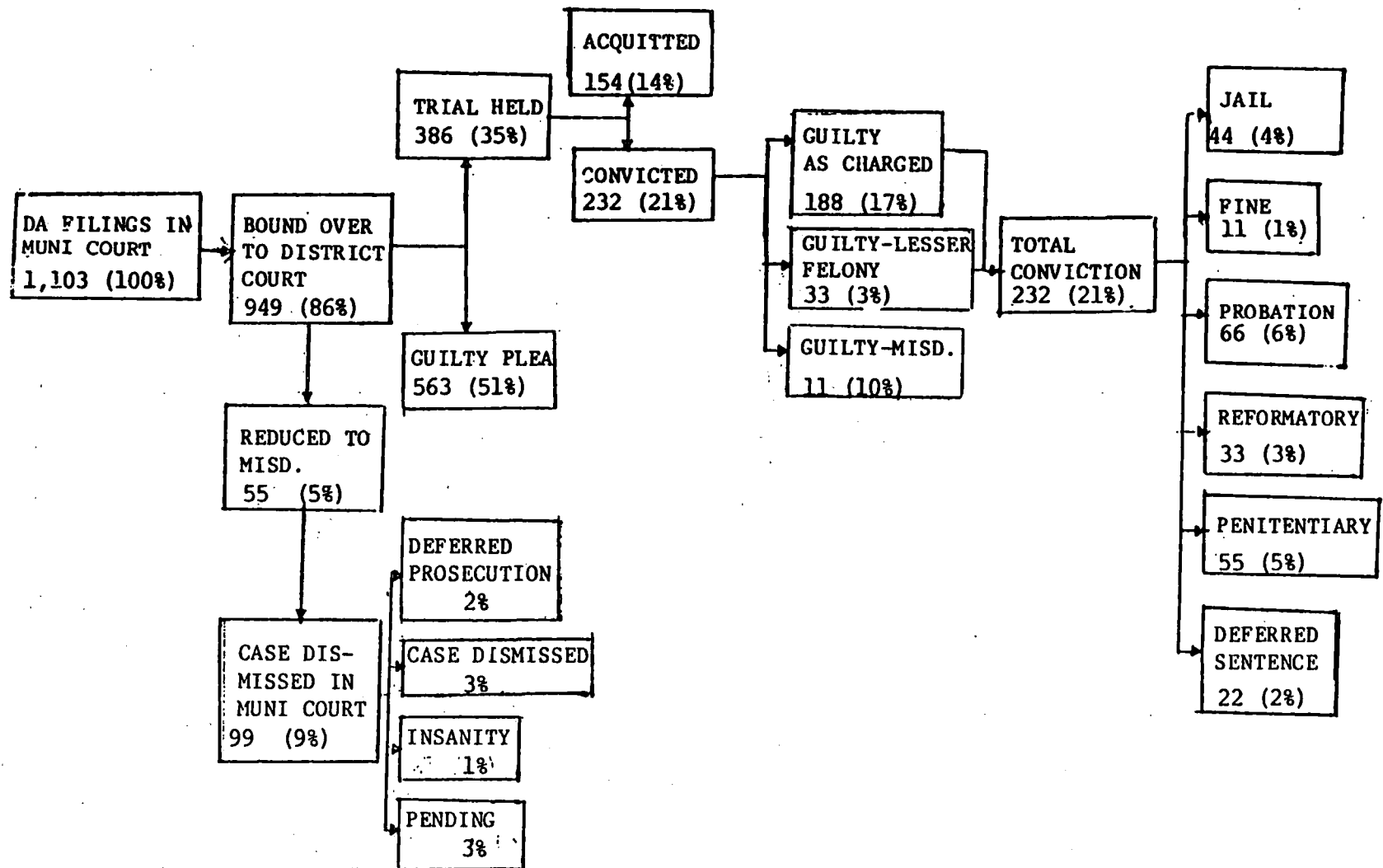
1978 GOTHAM CITY/PAYNELESS COUNTY  
METROPOLITAN AREA SYSTEM FLOW  
PROCESSING OF TOTAL INDEX CRIME



\* PERCENTAGE OF ADULTS ARRESTED. ALL OTHER PERCENTAGES RELATE TO FOUNDED OFFENSES.

FIGURE TWO  
1978 PAYNELESS COUNTY/GOTHAM CITY  
METROPOLITAN AREA COURT PROCESSING  
TOTAL INDEX CRIMES

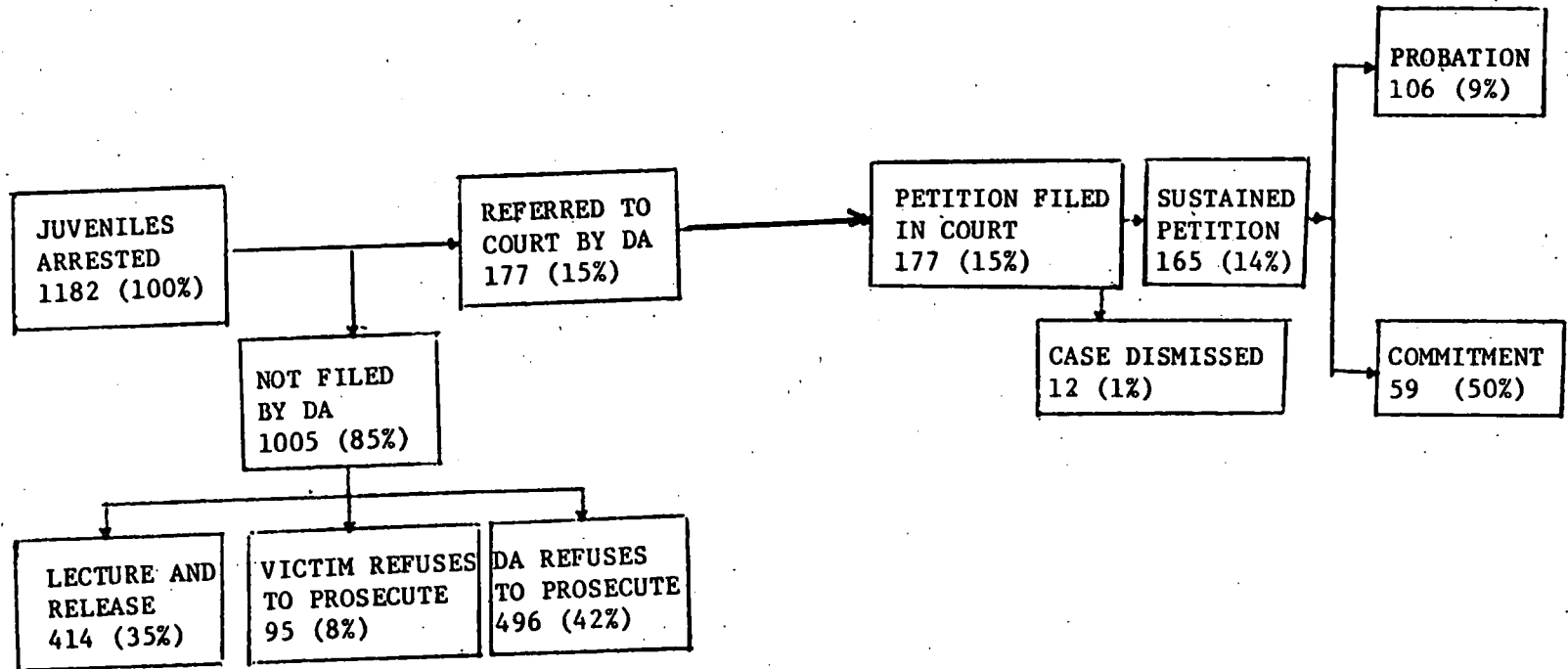
CS 3-34



NOTE: ALL PERCENTAGES ARE BASED UPON TOTAL D.A. FILINGS. BECAUSE OF ROUNDING OFF, THE COMPONENT FIGURES OF "TOTAL CONVICTION" (LAST COLUMN) DO NOT ADD UP TO 232.

FIGURE THREE  
1978 PAYNELESS COUNTY/GOTHAM CITY  
JUVENILE PROCESSING  
TOTAL INDEX CRIMES

CS 3-35



# Gotham Gazette

(EDITORIAL REPRINT)

November 15, 1979

CS 3-36  
The results of the recent Victimization Study and Public Opinion Survey confirmed what many of us here in Gotham City have long feared: our crime situation is far worse than is reflected in our official crime statistics. The official crime statistics are bad enough. I won't bore you with a detailed rehash of how they point out that serious crimes have almost doubled here in the last five years. We believe, however, that the results of the Victimization Study and Public Opinion Survey have graver implications for our City and not simply because they show that considerably more crimes are being committed than are reported. The real crisis that emerges from these two studies is the imminent danger confronting our downtown business district. Over sixty percent of those surveyed indicated that they do not feel safe shopping in the downtown area after dark. Over forty percent reported that they felt uneasy about shopping there anytime! Twenty-two percent of those surveyed reported being victimized in some

way while shopping downtown. The majority of this victimization was in the form of purse snatching, theft from autos, and so forth. Concerned citizens of Gotham City need not be reminded, however, that all the victims in the downtown business district have not escaped serious bodily harm. The brutal rape last Friday of the young secretary as she left work after dark is just the latest example of the growing trend toward violent crime in this area.

What impacts are the above developments having on the downtown business district? According to the Downtown Merchants Association, the impact has been devastating. During calendar year 1979, sales dropped an alarming average of seventeen percent in this area. Eight businesses closed, and only two businesses have indicated any interest at all in taking their places. The most alarming development to date occurred yesterday, how-

ever, when Jacob Davidson, President of Davidson's Department Store, called a news conference to announce that if affirmative steps aren't taken in the next six months to alleviate the downtown crime problem, Davidson will close the downtown store. Davidson's has been one of the downtown "hubs" in Gotham City for over four decades. Its closing would have a serious psychological as well as financial impact on the downtown area.

What can be done to save downtown Gotham City from becoming a fatality of the current crime wave? The Gotham City/Payneless County Criminal Justice Advisory Board has established the tackling of this problem as its top priority for this year. Virg Voyles and his staff are busy preparing a comprehensive plan for attacking this critical problem. We anxiously await the March 15 Advisory Board meeting when their plan will be unveiled.

# Payneless County

PAYNELESS COUNTY  
CRIMINAL JUSTICE PLANNING AGENCY  
313 COURTHOUSE SQUARE  
GOTHAM CITY, MISERY 00007

JUANITA JOHANNSEN  
CHAIRMAN

November 20, 1979

Dear Virgil:

The November 20, 1979 Advisory Board meeting was so significant that I felt it would be helpful to you and your staff if I formally stated the major conclusions reached by the Advisory Board at this meeting.

The results of the public opinion survey and the victimization study, coupled with the testimony of merchants from the downtown business district concerning sharply declining sales, rapidly increasing shoplifting, and the threatened moves of several major downtown merchants to suburban shopping centers unless the downtown crime problem is alleviated, have convinced the Advisory Board that the top priority for Planning Agency activities and funds for the coming year should be developing and implementing a program to deal with this problem. We have, therefore, decided to allocate \$1,500,000 to address this problem. Accordingly, I am officially requesting that you and your staff prepare a program proposal for dealing with this crisis for Board review at our March 15, 1980 meeting. I realize this is short notice, but we must show the people of Gotham City and Payneless County that we intend to assist in rescuing the downtown business district from the hoodlum element. We understand that it is unrealistic to expect a detailed program proposal by March 15. However, we do want a definite indication of the major alternative approaches that can be undertaken to overcome this problem.

The downtown business district has long served as the hub of this fine community. We're depending on you and your staff to help develop a plan that will restore it to its proper place. The members of the Board and I stand ready to assist you in any way possible.

Sincerely,

Juanita Johannsen  
Chairman

RJ/mm

cc: Fred Nicolaison,  
County Manager

CS 3-37

GOTHAM CITY MERCHANTS' ASSOCIATION  
1000 MAIN STREET  
GOTHAM CITY, MISERY 00007

November 21, 1979

Mr. Virgil Voyles, Director  
Payneless County Criminal Justice  
Planning Agency  
313 Courthouse Square  
Gotham City, Misery 00007

Dear Mr. Voyles:

I am writing this letter on behalf of the Merchants' Association to offer our full support to you in developing and implementing a program that will help alleviate the crime wave that has struck our downtown area. Quite frankly, most of us still can't believe this is really happening in Gotham City. Up until five years ago, our downtown area was a happy, thriving, and safe area. We were, and still are, woefully unprepared to deal with the situation that has developed.

I am impressed by your responsiveness to our plight expressed at the November 20 Advisory Board meeting. District Attorney Johannsen said at that time that you had an extensive background in crime prevention programs. We are anxious to cooperate with you in any practical way to put that knowledge and experience into practice in Gotham City.

Again, please let us know if there is any way we can cooperate in this effort.

Cordially,

Bill Stewart,  
President

BNS/ml



### EPISODE THREE: DE-BRIEFING NOTES

Following the walk-through, the question was posed to participants: How should Voyles respond to Johannsen's letter? One of the most difficult tasks confronting any criminal justice administrator is coping with just this type of pressure. One suggested method for handling such situations is identifying a "centrist" position that will satisfy the political demands that have to be addressed without completely sacrificing a professional approach for dealing with a real problem. Pictorially, this is shown in Exhibit 2-6 on the next page and in the Participant Guide. At times, pressures from the external environment may cause a shift away from this common area of interest. However, this represents the most optimal position from which the criminal justice administrator can attempt a win-win approach.

In Johannsen's letter to Voyles, she indicated that the Advisory Board expected to review at its March 15 meeting a program proposal that at least included an indication of major alternative approaches ". . . that can be undertaken" to deal with the problem of crime in the downtown business district. Point out to the participants that determining what can be done is done at the Strategic Planning level.

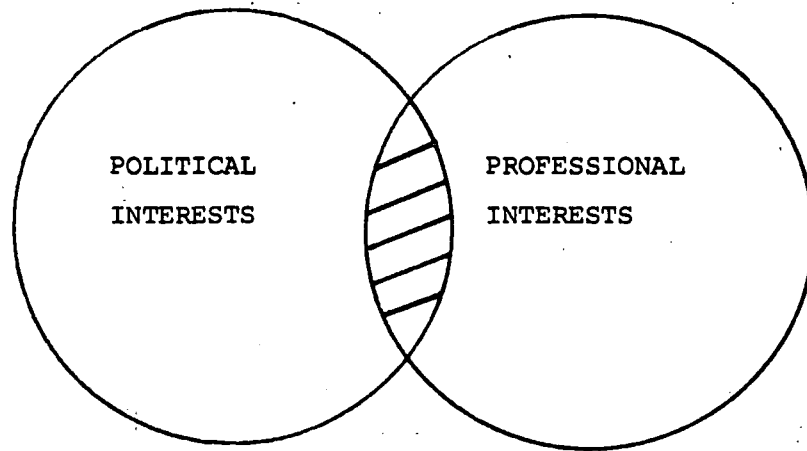
#### Review briefly:

- Normative Planning: What should be done?

This question has been answered by the normative goal: To reduce crime in the downtown business district.

- Strategic Planning will address what can be done to reduce crime in the downtown business district.

In the next Episode of the Case Study we will examine how Director Voyles attempts to address the first phase of Strategic Planning, and also how he attempts to respond professionally to the imposition of an important normative goal.



Initial Area of Concentration in Developing Plans  
for Agency or Program

## LECTURE NOTES

### V. STEP THREE: DEFINING STRATEGIC GOALS

Normative goals provide decision-makers with specific guidance concerning what ought to be done to achieve an organizational or program mission. As such, they represent the desired outcomes toward which criminal justice administrators should be striving. It is important to note that the desirability of a given outcome in no way reflects how difficult it might be to achieve it. Many desirable outcomes are simply impossible to achieve given resources and/or knowledge and understanding of what can be done to attain those outcomes. The focus of the next stage of the management planning process, strategic planning, is to determine the best approach to achieving the outcomes. The first step in determining the best approaches is to develop strategic goals. This segment of instruction describes a process for this development.

#### A. Identifying Problem Components

The outcomes reflected in normative goals indicate the intent to implement some form of change. This intent is based on the assumption that the present status in the area in question is less than desirable. For example, in the case of the Youthful Offender XYZ Program described earlier, one of the normative goals developed could have been to reduce the level of unemployment among this group.

This normative goal reflects the assumption that the high level of unemployment among youthful offenders is undesirable and probably contributes to the high rate of crime committed by this group. The first step in developing strategic goals to

#### Key Points and Comments

Point out at the outset that this segment of instruction addresses Step 8, Decision Point 2, on the Management Process Chart.

## LECTURE NOTES

Key Points and Comments
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achieve this normative goal is to identify to the extent possible the following important components of the Problem:

- The "contributing factors", or potential causes of the Problem
- The effects produced by the Problem

The above are identified by carefully examining why high unemployment rates exist for this group and what effects are occurring as a result of the Problem. Several important components that might emerge from the Problem Statement for the XYZ Program are:

- The recent closing of the auto plant has resulted in a high unemployment rate among working individuals in the target area.
- Most youthful offenders lack the technical training and education required to obtain the stable jobs that are available.
- Most youthful offenders simply do not know how to identify employment opportunities that do exist and successfully pursue them.

Isolating important components such as those described for the youthful offenders' unemployment provides essential input for a criminal justice administrator to begin consideration of what can be done to achieve desired outcomes.

### B. Specifying Alternative Strategic Goal Options

Once the problem components are identified, alternative strategic goal options can be specified. Based on the three important components presented above for the XYZ Program, alternative strategic goals might read as follows:

## LECTURE NOTES

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

Obviously, if these three Strategic Goals could be achieved, the unemployment problem among Youthful Offenders could be positively impacted. However, it is also fairly obvious that not all of the Strategic Goals are feasible targets for the Youthful Offender XYZ Program. In the next segment of the Module, criteria for selecting from among these Strategic Goal Options are presented.

### C. Selecting Alternative Strategic Goals

The Strategic Goal Options above specify what might be done to achieve the desired outcome. However, before a final decision can be made concerning which alternative strategic goals should be adopted, decision makers must more thoroughly examine what would be involved in making a potential strategic goal an operational reality. To determine this requires an assessment of what would be required to "follow through" with a specified strategic goal. For example, what would be involved in providing youthful offenders with the technical training and education required to qualify them for stable jobs? Determining what would be required to make a strategic goal an operational reality could conceivably require a major expenditure of agency or programmatic resources. Consequently, criminal justice admini-

## LECTURE NOTES

Key Points and Comments
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trators should attempt at this step in the Management Process to limit those Strategic Goal Options that are more thoroughly explored. The following criteria can be useful to the criminal justice administrator in making these determinations.

- o Do the Alternative Strategic Goals address the specified cause or effect identified in the Problem Statement in a comprehensive manner?

- o Are the courses of action specified in the Alternative Strategic Goals consistent with the mission(s) of the agency(ies) that would be involved in the implementation of efforts to achieve those Alternative Goals? Many of the problems that are addressed by the criminal justice system have causes and/or effects that are beyond the scope of the system: e.g., the apprehension of a criminal often results in his or her family losing its only source of income. This effect, of course, can become worse if incarceration ensues. An Alternative Strategic Goal to "reducing the negative financial impact on those families whose chief source of income is interrupted due to arrest or incarceration" would obviously be beyond the mission of the criminal justice system.

- o Are the Alternative Strategic Goals responsive to those community concerns that may have led to the development of the Problem Statement represented by the Alternative Strategic Goals?

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

## LECTURE NOTES

After applying these criteria the criminal justice administrator can then select those Alternative Strategic Goals that should be more thoroughly examined as candidates for resource allocation. Depending on the research resources available to them, criminal justice administrators can pursue two alternative courses of action in amplifying the Alternative Strategic Goals selected. These two courses of action are described later in this Module.

### Key Points and Comments

Exhibit 2-7

ALTERNATIVE STRATEGIC GOAL DECISION PACKAGE

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

Alternative Strategic Goals Selected:

Rationale for Decision:



## LECTURE NOTES

Key Points and Comments

### CASE STUDY EPISODE FOUR

#### A. Introduction

The purpose of this Episode is to have participants critique the adequacy of the Alternative Strategic Goal Decision Package that is presented in the Episode.

#### B. Administration

1. Pass out Episode Four materials.
2. Ask participants to read the instructions for the Episode.
3. Ask for and respond to questions concerning the instructions.
4. Following responses to questions, participants should complete the exercise in teams of two (adjacent partners, as designated by the instructor) without leaving the main meeting room.



CASE STUDY  
EPISODE FOUR

Selecting Alternative Strategic Goals

Objective:

At the completion of Episode Four, participants should be able to critique an Alternative Strategic Goal Decision Package.

## EPISODE FOUR:

### INSTRUCTIONS

Based on the information provided in the following documents, critique the Alternative Strategic Goal Decision Package submitted to Virgil Voyles by Richard Williams. Use the following criterion:

Are the Alternative Strategic Goals presented in the decision package consistent with Voyles' request and the following definition:

An alternative strategic goal is a statement of a desired change in a major component of a problem that supports the Normative Goal.

The task you have been asked to accomplish is only the first of a two-part process. It involves the identification of alternative strategic goals. The second part of this process, which is not included in this episode of the Case Study, involves the identification of one or more potential strategies for each strategic goal. This will not be discussed until after you complete this episode. Do not concern yourself with it at this time.

The format for the problem statements contained in this episode is an abbreviated synopsis of types of information that would be contained in a more expanded, properly formatted problem statement.

You should develop your response in consultation with your table partner as designated by the instructor.

# Payneless County

PAYNELESS COUNTY  
CRIMINAL JUSTICE PLANNING AGENCY  
313 COURTHOUSE SQUARE  
GOTHAM CITY, MISERY 00007

VIRGIL VOYLES  
DIRECTOR

January 16, 1980

TO: Richard Williams  
FROM: Virgil Voyles  
TOPIC: Downtown Business District

Please have your staff prepare by January 31, 1980, an Alternative Strategic Goal Decision Package for the proposed Downtown Business District Program. As I indicated to you in our last conversation regarding this matter, I want the staff to be fully cognizant of the need for the Alternative Strategic Goals they propose to reflect those factors that in reality are contributing to the perceived crime problem in the Downtown Business District. So often we are accused, and sometimes correctly, of treating "symptoms" rather than the "disease". We can help to insure we don't fall into this trap in dealing with the Downtown Business District if we're careful to limit our Alternative Strategic Goals to real "causes". After we've identified these as clearly as possible, we can then take steps to address how to alleviate them.

# Payneless County

PAYNELESS COUNTY  
CRIMINAL JUSTICE PLANNING AGENCY  
313 COURTHOUSE SQUARE  
GOTHAM CITY, MISERY 00007

RICHARD WILLIAMS  
ASSOCIATE DIRECTOR OF  
PLANNING

January 31, 1980

TO: Virgil Voyles  
FROM: Richard Williams  
TOPIC: Alternative Strategic Goal Decision Package

Attached is the Alternative Strategic Goal Decision Package you requested in your January 16 memo. As we have discussed, "zeroing in" on the real contributing factors, or causes, of the Downtown Business District crime problem is not easy. The attached Decision Package represents our best effort at this difficult task.

## ALTERNATIVE STRATEGIC GOAL DECISION PACKAGE

A. Normative Goal: To reduce crime in the Downtown Business District of Gotham City

B. Problem Summary: In the five-year period from 1973-78, the increase in index crimes in this area was 45.57%, an alarming rise and a full 20% greater than the citywide increase of 26.29%. The crime problem in this area appears to be having a devastating impact on both the businesses in the downtown area and many of the people who are compelled to shop here.

C. Problem Components

Based on an assessment of the Problem Statement for the Downtown Business District, the following appear to be the important components of this problem:

1. Juveniles engaging in criminal behavior
2. Vulnerability of potential "targets" of crime
3. Inadequate crime deterrent and response capability by criminal justice agencies dealing with the downtown business district
4. Ready availability of handguns to potential offenders

D. Alternative Strategic Goals

1. Reduce juvenile criminality in the Downtown Business District
2. Improve juvenile justice apprehension and treatment capacities
3. Upgrade crime deterrent and response capability of criminal justice agencies dealing with crime in the Downtown Business District
4. Enact handgun ordinances to restrict the sale of handguns
5. "Harden" potential crime targets in the Downtown Business District

PROBLEM STATEMENT: CRIME IN DOWNTOWN BUSINESS DISTRICT

DURING 1978, THE DOWNTOWN BUSINESS DISTRICT ACCOUNTED FOR 46.46% OF THE INDEX CRIMES COMMITTED IN GOTHAM CITY WHILE ONLY ACCOUNTING FOR 20% OF THE ACTUAL LAND IN THE CITY. (SEE TABLE ONE). 4483 INDEX CRIMES WERE REPORTED IN THE BUSINESS DISTRICT ALONE, INCLUDING 15 HOMICIDES, 78 RAPES, AND 704 ROBBERIES. THIS REPRESENTS A SUBSTANTIAL INCREASE IN THE CRIME FREQUENCY IN THIS AREA OVER THE LAST FIVE YEARS. SINCE 1973, INDEX CRIMES HAVE RISEN IN THE BUSINESS DISTRICT ON THE AVERAGE OF 46.57%, INCLUDING A 62% INCREASE IN THE HOMICIDE RATE, A 55% INCREASE IN THE NUMBER OF REPORTED RAPES, AND A 61% INCREASE IN THE NUMBER OF BURGLARIES. THE CRIME FREQUENCY HAS ALSO INCREASED REMARKABLY IN THE CITY AS A WHOLE, OUTSTRIPPING INCREASES IN OTHER CITIES ACROSS THE COUNTRY OF EQUIVALENT SIZE. HOWEVER, THE AVERAGE INCREASE IN INDEX CRIMES CITYWIDE SINCE 1978 IS 26.29% COMPARED TO THE BUSINESS DISTRICT'S INCREASE OF 46.57%.

TYPE OF PROBLEM

MAGNITUDE

RATE OF CHANGE

SERIOUSNESS OF PROBLEM

THESE 1978 CRIME STATISTICS ARE ONLY ONE INDICATION OF THE SERIOUSNESS OF THE PROBLEM. THE OTHER INDICATION COMES FROM A 1979 VICTIMIZATION STUDY AND PUBLIC OPINION POLL. OF THE CITIZENS SURVEYED, IN EXCESS OF 60% FEAR SHOPPING DOWNTOWN IN THE EVENINGS, WHILE 40% ARE FEARFUL OF GOING DOWNTOWN IN BROAD DAYLIGHT. SALES BY MERCHANTS HAVE DROPPED 17% IN 1979 AND 8 BUSINESSES HAVE CLOSED. FURTHERMORE, THE VICTIMIZATION STUDY SHOWS MANY MORE CRIMES HAVE OCCURRED THAN THOSE THAT ARE REPORTED TO THE POLICE. EXTRAPOLATING FROM THE SAMPLE SURVEYED, NEARLY EIGHT TIMES MORE RAPES (ABOUT THE NATIONAL AVERAGE), TWO TIMES MORE ROBBERIES, BURGLARIES AND LARCENIES, AND THREE TIMES MORE AGGRAVATED ASSAULTS OCCUR THAN ARE REPORTED TO THE POLICE.

PERSONS AFFECTED

THERE ARE NO OFFICIAL POLICE STATISTICS THAT WOULD GIVE A PROFILE OF THE VICTIMS IN THE



DOWNTOWN AREA AS OPPOSED TO THE TYPE INDIVIDUALS WHO ARE VICTIMIZED THROUGHOUT THE CITY. CITYWIDE, THE VICTIMIZATION PROFILE ACROSS INDEX CRIMES IS 65.5% BLACK AND CHICANO AND 34.5% WHITE, WITH A FAIRLY EVEN AGE AND SEX DISTRIBUTION. THE VICTIMIZATION STUDY, HOWEVER, INDICATES THAT THIS MAY NOT BE THE CASE IN THE DOWNTOWN BUSINESS DISTRICT. A DISPROPORTIONATE NUMBER OF INDIVIDUALS 65 AND OVER (26.8% OF THOSE RESPONDING WHILE THIS SEGMENT MAKES UP ONLY 10.25% OF THE ACTUAL POPULATION) ARE BEING VICTIMIZED (LARCENIES, ROBBERIES AND AGGRAVATED ASSAULTS) IN THE DOWNTOWN BUSINESS DISTRICT.

THE DOWNTOWN BUSINESS DISTRICT IS OFTEN THE ONLY SHOPPING AREA THAT IS ACCESSIBLE TO THE ELDERLY. MANY OF THE "RETIREMENT HOMES" ARE IN THE DOWNTOWN AREA. ADDITIONALLY, THERE IS A PREPONDERANCE OF PUBLIC TRANSPORTATION TO AND FROM THAT AREA. THE SENIOR CITIZENS, MANY OF WHOM MUST WALK AND RELY ON PUBLIC TRANSPORTATION, DEPEND HEAVILY ON THE DOWNTOWN AREA FOR THEIR SHOPPING NEEDS. IN ADDITION, THESE INDIVIDUALS ALSO ARE SEEN AS EASY VICTIMS WHO INTIMIDATE READILY AND ARE UNABLE TO OFFER MUCH RESISTANCE. THEY TEND TO GO ABOUT THEIR DAILY ACTIVITIES ALONE AND LIVE IN OR VISIT POORLY LIGHTED BUILDINGS.

SPATIAL ASPECTS

CAUSE/EFFECT

ANOTHER CHARACTERISTIC OF THE CRIMES COMMITTED IN GOTHAM CITY AS A WHOLE IS THE PREPONDERANCE OF HANDGUNS USED IN THE COMMISSION OF THESE CRIMES. 61.2% OF THE HOMICIDES, 49% OF THE RAPES, 68.59% OF THE ROBBERIES, AND 29% OF THE AGGRAVATED ASSAULTS INVOLVED THE USE OF HANDGUNS. NO DATA ARE AVAILABLE ON THE TYPE OF FORCE USED IN THE OTHER REPORTED INDEX CRIMES. ADDITIONALLY, NO DATA ARE AVAILABLE ON THE TYPE OF FORCE USED IN THE COMMISSION OF CRIMES IN THE DOWNTOWN DISTRICT ALONE. THERE IS NO REASON TO BELIEVE, HOWEVER, THAT THE DISPROPORTIONATE USE OF HANDGUNS IS NOT TRUE FOR THE COMMISSION OF CRIMES IN THE DOWNTOWN BUSINESS DISTRICT, TOO.

TYPE OF PROBLEM

ALSO, THERE ARE NO OFFICIAL DATA DISTINGUISHING THOSE APPREHENDED FOR CRIMES IN THE DOWNTOWN BUSINESS DISTRICT FROM THOSE APPREHENDED FOR CRIMES COMMITTED ELSEWHERE. CITYWIDE, THE SUSPECTS ARE, ON THE AVERAGE, 18 OR UNDER, BLACK, MALE, UNDEREDUCATED (LESS THAN TWELVE YEARS) AND UNEMPLOYED. RESULTS FROM THE VICTIMIZATION SURVEY INDICATE THAT THE OFFICIAL STATISTICS FROM THE POLICE ARE ABOUT THE SAME AS THE PERCEPTIONS OF THE CITIZENS SURVEYED. TABLE TWO CONTAINS THE OFFICIAL POLICE STATISTICS ON PERSONS APPREHENDED FOR INDEX CRIMES IN GOTHAM CITY.

PERSONS AFFECTED

SEVERAL REASONS HAVE BEEN POINTED OUT BY THE PRESS AND OTHER CONCERNED CITIZENS AS TO WHY THERE ARE SO MANY JUVENILES INVOLVED IN CRIMINAL ACTIVITIES. THE POLICE HAVE REPEATEDLY COMPLAINED THAT THEY ARE ARRESTING THE JUVENILES BUT THAT THE COURTS ARE NOT PROSECUTING THEM. OVERALL, 85% OF THE JUVENILES ARRESTED ARE NOT FILED (PROSECUTED) BY THE D.A.. THIS MAY BE CREATING A SITUATION WHERE THE JUVENILES ARE NOT AS AFRAID TO COMMIT A CRIME BECAUSE EVEN IF THEY ARE ARRESTED THEY HAVE AN 85% CHANCE OF BEING TURNED FREE.

CAUSE/EFFECT

AN ADDITIONAL POTENTIAL REASON FOR THE AMOUNT OF JUVENILE CRIME MAY BE BECAUSE THERE IS NO SPECIFIC DIVISION IN THE GOTHAM CITY POLICE DEPARTMENT FOR DEALING WITH JUVENILES. THE CITY ALSO HAS BEEN REMISS IN DEVELOPING COMMUNITY ALTERNATIVES TO INCARCERATION AND JUVENILE DIVERSION PROGRAMS. TWO YEARS AGO THE PUBLIC SCHOOLS TOOK OUT ALL OF THEIR ATHLETIC PROGRAMS IN AN EFFORT TO SAVE MONEY AND AT THE SAME TIME ALL OF THE PUBLIC GYMNASIUMS WERE COMMITTED TO OTHER USES. AS THIS HAS BEEN HAPPENING, THE JUVENILE RECIDIVIST RATE HAS SOARED TO AN ALL TIME HIGH OF 39% AND THE NUMBER OF JUVENILES BEING ARRESTED IS ALSO VERY HIGH AS SHOWN IN TABLE TWO.

A FINAL EXPLANATION OF WHY THE DOWNTOWN BUSINESS DISTRICT HAS BEEN PLAGUED BY A DISPROPORTIONATE AMOUNT OF CRIME IS THE WAY THAT LOCAL LAW ENFORCEMENT HAS DEALT WITH THIS AREA. TWO ISSUES ARE RELEVANT HERE. FIRST, THE GOTHAM CITY POLICE

CAUSE/EFFECT

SYSTEM RESPONSE

DEPARTMENT HAS PERSISTED IN DISPERSING ITS PERSONNEL EVENLY IN THE CITY. NO ALLOWANCES FOR CRIME FREQUENCIES ARE MADE WHEN THE STAFFING PATTERNS ARE ESTABLISHED. THE DEPARTMENT HAS PERSISTED IN CLINGING TO THE OLD PRECINCT SYSTEM WHERE EACH AREA GETS AN EQUAL AMOUNT OF PERSONNEL REGARDLESS OF THE CRIME SITUATION. AS A RESULT, LAW ENFORCEMENT IN GOTHAM CITY HAS CLEARED ONLY 26% OF THE REPORTED CRIMES WITH ARREST, WHILE THE NATIONAL AVERAGE FOR CLEARING INDEX CRIMES WITH ARREST IN CITIES THE SIZE OF GOTHAM CITY IS 35%.

SECOND, THE GOTHAM CITY POLICE DEPARTMENT DOES NOT HAVE A DIVISION FOR DEALING WITH CRIME PREVENTION. CONSEQUENTLY, VERY LITTLE "TARGET HARDENING" HAS OCCURRED IN THE DOWNTOWN BUSINESS DISTRICT. PAYNELESS COUNTY INITIATED THEIR CRIME PREVENTION PROGRAM SIX YEARS AGO. SINCE THAT TIME, AMONG PARTICIPATING MERCHANTS THE CRIME RATE HAS DECREASED A DRAMATIC 78%.

TABLE ONE

## INDEX CRIMES IN GOTHAM CITY AND DOWNTOWN BUSINESS DISTRICT

<u>TYPE OF CRIME</u>	<u>FREQUENCY INDEX CRIMES IN GOTHAM CITY</u>	<u>FREQUENCY IN INDEX CRIMES IN CITIES EQUI- VALENT IN SIZE TO GOTHAM CITY</u>	<u>% CHANGE INDEX CRIMES IN GOTHAM CITY OVER 5 YEARS</u>	<u>FREQUENCY OF INDEX CRIMES IN BUSINESS DISTRICT</u>	<u>BUSINESS DISTRICT'S % OF CITY- WIDE CRIME</u>	<u>% CHANGE IN INDEX CRIMES IN BUSINESS DISTRICT OVER 5 YEARS</u>
HOMICIDE	31	27.2%	+ 49%	15	48.39%	62%
RAPE	190	143.6	+ 52	78	41.05	55
ROBBERY	1677	1217.0	+ 40	704	41.98	48
BURGLARY	3498	2897.6	+ 59	1505	43.02	61
LARCENY	2123	3624.0	+ 20	931	43.85	32
AUTO THEFT	1428	921.5	+ 20	814	57.00	26
AGGRAVATED ASSAULT	702	652.4	+ 14	436	62.02	42
AVERAGE	1378.4	1354.8%	+ 36.3	640.4	48.20%	46.6%

CS-4-10

TABLE TWO

## DEMOGRAPHICS OF PERSONS APPREHENDED FOR INDEX CRIMES (%)

TYPE OF CRIME	18 YRS. & UNDER	19-30 YEARS	31+ YEARS	MALE	BLACK	WHITE	CHICANO
HOMICIDE	43.2%	34.3%	22.5%	61.2%	61%	20%	19%
RAPE	32.1	37.8	30.1	100	65	15	20
ROBBERY	45	38.3	16.7	71	63	20	17
BURGLARY	58.1	43.2	18.7	70	58	29	13
LARCENY	48	30.1	21.9	59	43	53	24
AUTO THEFT	59	28.3	12.7	63.5	38	42	20
AGGRAVATED ASSAULT	31	49	20	68.2	61	22	17

NOTE:

THE DEMOGRAPHICS OF THE INDIVIDUALS SUSPECTED OF COMMITTING THE INDEX CRIMES ARE CONSISTENT WITH THOSE PRESENTED ABOVE.



#### EPISODE FOUR: DE-BRIEFING NOTES

Following the 30 minutes allotted to complete this Episode, call upon several groups of two participants to present their responses. This may be done by having each group critique all four Alternative Strategic Goals, or, alternatively, by having a different group critique one (or two) of the goals. Other groups may then be asked to comment on the responses presented.

In summing up the Episode, the instructor should make the following key points:

1. Alternative Strategic Goals #1, #3 and #5 are appropriate and consistent with the definition.
2. Alternative Strategic Goal #2 is inappropriate for at least two reasons. First, it is one logical means to achieve the ends specified in Alternative Strategic Goal #3, and is therefore a subset of it. Second, if it is intended to be the Strategic Goal counterpart of the stated problem component "juveniles engaging in criminal behavior", it also is inadequate. In actuality, it is just one approach to the actual Strategic Goal of reducing juvenile criminality in the Downtown Business District. Adopting this as a Strategic Goal ignores other alternatives for achieving the actual Strategic Goal such as improving diversion techniques.
3. Alternative Strategic Goal #4 is also inappropriate because it is just one means of addressing the actual Strategic Goal of reducing the availability of handguns to potential offenders. Other policies and procedures developed and implemented by the merchants themselves could potentially help to alleviate the presumed cause without the passage of an ordinance.

The instructor should stress that the emphasis on restricting the Alternative Strategic Goals to real important components and not allowing the inclusion of statements reflecting approaches to alleviate the presumed causes or effect, is quite critical to the success of the entire planning

process. The next step in the process is to ask "How can we best achieve each Alternative Strategic Goal?" Improper selection of Alternative Strategic Goals can significantly narrow the scope of the subsequent deliberations and seriously impede the ultimate effectiveness of the entire effort. For example, in this episode, consider the ramifications of selecting "Improve juvenile justice apprehension and treatment capacities" rather than "Reduce juvenile criminality in the Downtown Business District." By focusing attention on how to achieve the former, numerous potential options dealing with other forms of deterrence that may in fact be more effective and efficient means for dealing with the problem component are excluded.



## LECTURE NOTES

### VI. EXAMINING ALTERNATIVE STRATEGIC GOALS: A COMPREHENSIVE APPROACH

Selecting strategic goals is technically a form of strategic planning. However, to effectively execute this aspect of strategic planning requires the completion of some segments of operational planning. The more that criminal justice administrators know about what is required to implement a certain strategic goal, the greater the basis for their making the correct selection from the alternatives available. Determining how a strategic goal can best be implemented involves operational planning.

The determination of how a strategic goal can be implemented begins with a delineation of the possible strategic elements that might be involved in such an effort. Strategic "element" could conceivably be a project, activity(ies), legislation, or any event or input that could be identified as possibly contributing to the successful achievement of the strategic goal in question. At times, two or more strategic elements may be identified that could be implemented as a unified "strategy". Strategy is defined as a general course of action designed to achieve an outcome implied or specified in a Strategic Goal(s). For example, in the process of identifying possible strategic elements for the Youthful Offender XYZ Program Strategic Goal to "Provide youthful offenders with technical training and/or education required to qualify them for jobs", the following possible strategic elements might be identified:

- An "apprenticeship project" that will

Key Points and Comments
<p>Point out to participants that normative, strategic, and operational planning can be simplistically differentiated as follows: Normative Planning = What <u>ought</u> to be done and why. Strategic Planning = What <u>can</u> be done and how. Operational Planning = What <u>will</u> be done and <u>when</u>.</p> <p>The Instructor should point out to the participants that elements can represent activities other than</p>

## LECTURE NOTES

provide on-the-job training for youthful offenders

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

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

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

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

The first two strategic elements have a common bond in that they emphasize on-the-job training; the latter three likewise share the common trait of emphasizing full-time training experiences. These five elements could therefore be grouped as elements in two strategies:

- Provide on-the-job training experience for youthful offenders; and

- Provide full-time training experience for youthful offenders.

At times, the alternative strategies for achieving a Strategic Goal are not really apparent until the possible strategic elements are examined using the following criteria:

- Do the strategic elements have a common purpose or focus?

- Could the strategic elements in question conceivably be interdependent?

- If implemented as components of a unified strategy, would the strategic elements be likely to complement one another, or would the possibility exist that one element might compete with or in some

Key Points and Comments
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<p><i>those directly funded by an organizational unit or a program; e.g. an element in a juvenile delinquency prevention program might conceivably be a volunteer peer counseling group.</i></p>
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## LECTURE NOTES

other way negate the potential impact of the other?

In some instances strategic elements may indeed stand alone as strategies. But when "clusters" such as the ones described above can be formed, they indeed should be. Clearly identifying these inter-relationships makes it possible to design an approach to implementing strategic elements that provides for the best possible utilization of existing resources.

The identification of alternative strategies and/or strategic elements would generally be the responsibility of a program developer or planning staff when resources permit. The criminal justice administrator should monitor this identification process and offer input as deemed appropriate to insure its completeness.

### A. Selecting Interim Strategies

In many cases, program developers may be able to identify a large number of alternative strategies to achieve a particular Alternative Strategic Goal. A strategy is ultimately only as sound as the elements it includes, and the process of assessing elements (which will be discussed later) can be costly and time consuming. Consequently, the criminal justice administrator should strive to limit to the extent possible the number of alternative strategies that the program developer(s) investigates. The Interim Strategy Decision Package (Exhibit 2-8) can be very useful in this limiting process.

This format provides a basis for describing the various strategies identified for each Alternative Strategic Goal. Specifically, Part II of this decision

### Key Points and Comments

*The identification of strategies can be either a "top down" or "bottom up" process.*

*Point out that this process occurs at Step 9 in the Management Process.*

*Refer to Exhibit 2-8. Point out that this Decision Package addresses Decision Point 3 at Step 10.*

## LECTURE NOTES

Key Points and Comments

package provides the criminal justice administrator with:

1. A delineation of the various elements that would be included in a strategy, (Part C);
2. A description of how those elements mesh to make the strategy in question a viable one (Part D); and;
3. An overall assessment of the efficacy of the strategy as a means of imparting the Alternative Strategic Goal (Part E).

INTERIM STRATEGY DECISION PACKAGE

Part I

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

Part II

(One per Strategy)

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

Further Assess Strategy

Yes \_\_\_\_ No \_\_\_\_

Comments:

## LECTURE NOTES

Utilizing the information provided in the Interim Strategy Decision Package, the criminal justice administrator can select those strategies that the program developer(s) should more fully develop for consideration for implementation. Selecting these "interim" strategies should be done using the following criteria:

- If a strategy is implemented, will it contribute to achieving the Strategic Goal?
- Is the set of elements delineated in the Decision Package adequate to successfully implement the strategy?
- Are those elements shown in the Decision Package the most appropriate elements to implement the stated strategy, or are others conceivably preferable?

### B. Selecting Preferred Strategies and Strategic Goals

Following selection of the Interim Strategies that will be examined for possible implementation, the criminal justice administrator can embark upon a two-step process that will culminate in the selection of (1) the strategies that are best candidates for implementation and (2) the Alternative Strategic Goal that should be implemented. This two-step process is described below.

#### 1. Selecting Preferred Strategies

##### a. Developing Alternative Element

"Decision Packages"

To facilitate the decision-making process associated with evaluating alternative strategies or elements, the administrator should require when possible that the program development staff submit a "Decision Package" for each proposed alternative element. The components of this "Decision

## Key Points and Comments

*Point out that this two-fold decision occurs at Decision Point 4, Step 11 in the Management Process.*

*Point out that elements should reflect the projections stated.*

## LECTURE NOTES

Package" are:

(1) Component One: Synopsis of Alternative Element. Few criminal justice administrators possess the amount of time required to thoroughly review each and every alternative element. Therefore, a synopsis of such alternative elements becomes a key component of a Decision Package.

Exhibit 2-9 presents one possible format for a synopsis of an alternative element.

Briefly identify the major topics covered on this form:

(a) Strategic Goal that the proposed strategy and elements address is identified.

(b) Proposed Strategy to achieve Strategic Goal.

(c) Proposed Element that is included in Strategy is identified.

(d) Rationale for the proposed element is explained, including an assessment of how crucial particular element is to overall strategy.

### Key Points and Comments

*in the Environmental Assumptions, e.g., assumptions about fuel cost increases should be incorporated in budget projections for an element including a facility.*

*Refer to Exhibit 2-9.*

*Use this information as you refer to Exhibit 2-9.*

SYNOPSIS OF ALTERNATIVE ELEMENT  
(One synopsis per Element)

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



## LECTURE NOTES

### Key Points and Comments

(e) A specific objective\* is to be achieved by the element is stated.

(f) Estimated cost, both for initial implementation and projected continuation.

(g) Advantages are briefly stated.

(h) Disadvantages are noted.

(i) and (j). The discussion of (i) and (j) is contained in "(2) The Method of Rationales" and "(3) The Element Network" below.

#### (2) The Method of Rationales (MOR)

The Method of Rationales (MOR) is a useful decision-making tool that enables an administrator to more clearly examine the components of a particular alternative element. Visual 2-4 describes the four basic component areas of the Method of Rationales. These are:

(a) Inputs: people, places and things

(b) Activities: the purposes for which inputs are provided

(c) Results: "products" of the activities, i.e., their objectives

(d) Outcomes: The strategic goals accomplished by the combination of inputs, activities and results

\* As defined in the Glossary, an objective is "A specific condition to be attained by a specific program of activities, stated in time-limited and measurable terms."

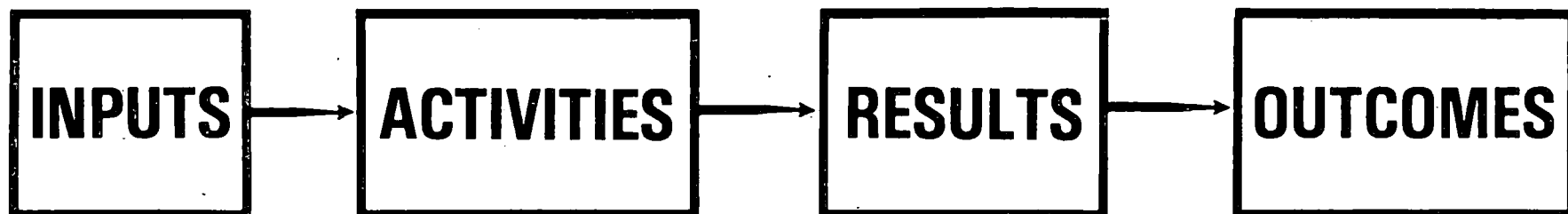
*Display Visual 2-4*

*Refer to Visual 2-4 as this section is covered in the lecture.*

*"Outcomes" as used here in somewhat different from its use in the Evaluation Course.*

# METHOD OF RATIONALES

II-94



## LECTURE NOTES

### Key Points and Comments

The above components are assumed to be a causal "chain", i.e.,

- Inputs are presumed to create activities;
- Activities are assumed to cause results;

and

- Results are assumed to lead to the attainment of established goals or outcomes.

By examining an MOR created for a proposed element the Program Manager can compare alternative elements to the respective inputs and activities that are required to achieve results and outcomes.

In conclusion, the MOR format provides the program manager with a quick overview of the alternative elements under consideration. The manager should use this approach as an aid in making more rapid and rational decisions. While it is true that the political nature of the criminal justice system does not always favor the purely rational and cost-effective approach to pursuing objectives, the MOR can nonetheless be of great value in those instances where it does.

### (3) The Element Network

A third decision-making tool a criminal justice administrator can use in assessing a potential element is a "network." The network describes the underlying "logic" of a proposed element, i.e., it shows pictorially how the "inputs" and "activities" stated in the MOR will actually "come together" to produce the specified results.

For example, Visual 2-5 shows a simplified and inappropriate implementation network representa-

*There are probably three different types of networks which may be used: implementation (much like PERT), operational (client-flow, for example); and causal (as used in the Evaluation Course). For managerial purposes, this is an implementation network.*

*Display Visual 2-5. Emphasize that this*

## LECTURE NOTES

tive of the establishment of a halfway house program.

- Hiring and training the staff before a suitable dwelling is located is probably not sound judgment.

- Purchasing office equipment, supplies, beds and so forth before a site is located is also probably unwise.

Visual 2-6 shows the correct network for this example.

In summary, a network representation of a proposed element can assist the program manager in determining whether or not the developers of that strategy have logically outlined an approach for implementation should it be selected. Knowing this can help the criminal justice administrator to avoid numerous pitfalls in building a successful program.

### b. Applying Decision Criteria

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

(a) Effectiveness: Will the proposed element contribute to achieving the specified results?

(b) Cost: How expensive is the proposed element? Are the projected results and outcomes worth the cost?

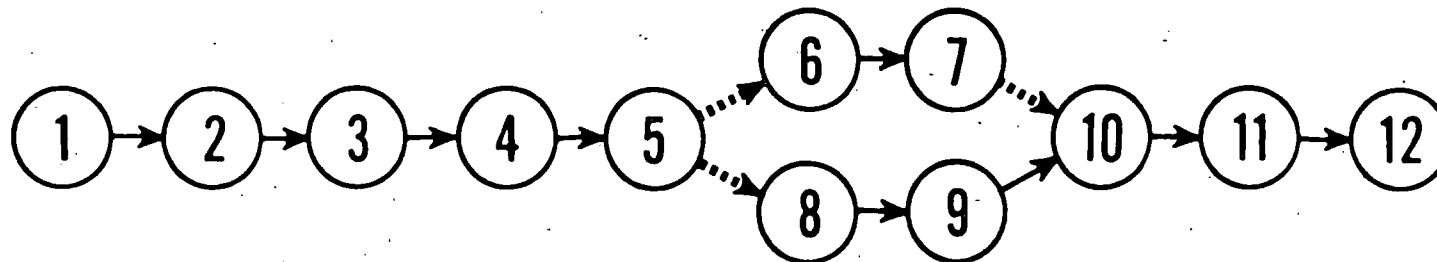
### Key Points and Comments

is a simplified network. If desired, the instructor can highlight this example by mentioning the story about the project manager who purchased all the equipment for such a halfway house in the first month of the project and ended up paying over \$3,000 to store it for the nine-month period before a site for the project was secured.

Point out to participants that criminal justice administrators may place different emphases on these criteria depending on the issue in question.

# INAPPROPRIATE NETWORK

## PROJECT: COMMUNITY-BASED TREATMENT FACILITY



---

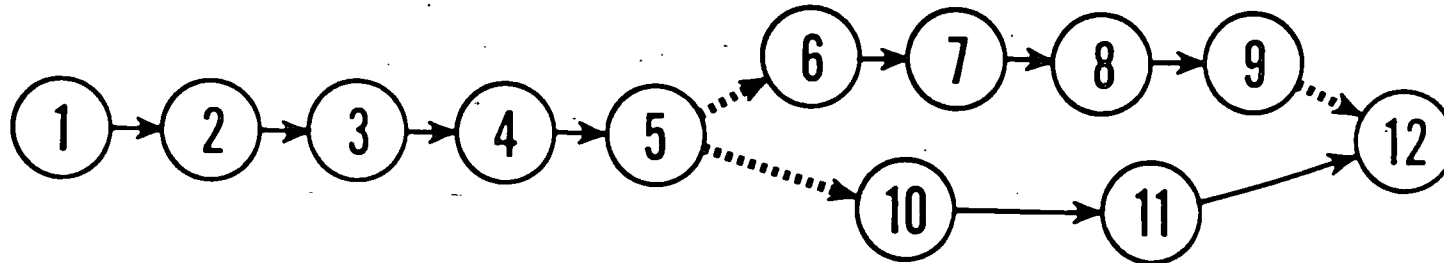
### ACTIVITIES

---

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

# APPROPRIATE NETWORK

## PROJECT: COMMUNITY-BASED TREATMENT FACILITY



---

### ACTIVITIES

---

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

## LECTURE NOTES

Key Points and Comments
<p>For example, acceptability may be two or three times more important in a given situation than evaluability.</p>
<p>Refer back to Visual 2-4 to show the inputs, activities, and results components referred to in this discussion of benefit-cost analysis.</p>

(c) Practicality: Can the proposed element be implemented as indicated in the network?

(d) Acceptability: Is the proposed element agreeable to relevant public and political powers?

(e) Evaluability: Can the contributions of the element to results and possible outcomes be reasonably determined?

Of the five criteria cited above, the cost is gaining increasing importance during this period of economic "belt-tightening." Given this situation, there are two potentially useful techniques that can be employed in assessing the relative costs of alternative elements. These are benefit-cost and productivity analyses. Each technique is examined below.

### (2) Cost Analysis Techniques

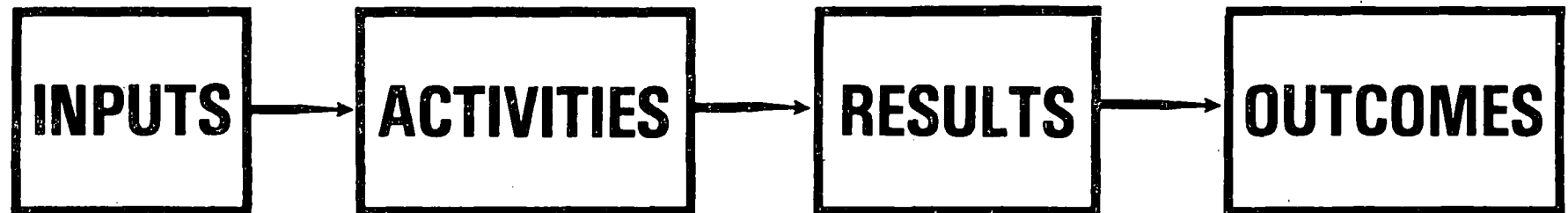
#### (a) Benefit-Cost Analysis

Benefit-cost analysis is designed to assist in determining the monetary cost relationship between the inputs and activities of an element and the results of that element. A crucial feature of benefit-cost analysis is that a dollar value has to be assigned to the resulting benefits.

For example, let's assume that two projects, A and B, were each designed to produce the result of lowering the population of a juvenile facility by 100. If it costs \$10,000 per annum to house and care for each of the 100 residents, then the benefits that would accrue from each project would be  $100 \times \$10,000$ , or \$1,000,000. If the cost of Project A is \$200,000 and Project B is \$250,000 the resulting benefit-cost

# METHOD OF RATIONALES

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## LECTURE NOTES

relationships could be expressed as follows:

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

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

The above indicates that from a benefit-cost standpoint, Project A is preferable to Project B because A yields \$5 of benefits for every \$1 of cost, while B yields only \$4 for the same investment.

### (b) Productivity Analysis

As indicated above, a crucial feature of benefit-cost analysis is the ability to assign a dollar value to benefits. In the example cited above, this was relatively easy to do. In many of the elements considered in the criminal justice field, it is difficult, and at times virtually impossible, to specify the monetary value of a given result. For example, what is the monetary value of reducing murders or rapes by 20%? Obviously, assigning a dollar amount in such a case is impractical. In some cases where assigning a dollar value to results is not feasible, productivity analysis can be used. Productivity analysis involves the comparison of the dollar value of the inputs of an element to the activities that are generated as a result of the inputs. For example, assume that the specified result in two alternative elements is to provide counseling services to juvenile offenders. Assigning a dollar value to the benefits derived from counseling sessions is difficult if not impossible, so benefit-cost analysis is not useful. However, if we know that Project X costs

### Key Points and Comments

Develop a local example and place on chalk board (or solicit one from participants). Have participants work it as a brief exercise.

As productivity analysis is presented, the Instructor should solicit appropriate examples from participants.

Again, refer to Visual 2-4.

## LECTURE NOTES

Key Points and Comments
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\$40,000 to provide counseling services to 100 juvenile offenders and Project Y costs \$30,000 to provide counseling services for 90 juvenile offenders, we can apply productivity analysis to compare the two. Productivity for the two is determined as follows:

Project X: Counseling sessions conducted  
for: 100 clients  
Cost of inputs: \$40,000 =

$$\frac{100}{\$40,000} = \frac{1}{400}$$

Project Y: Counseling sessions conducted  
for: 90 clients  
Cost of inputs: \$30,000 =

$$\frac{90}{\$30,000} = \frac{1}{333.33}$$

Using this technique, Project Y is more "productive" than Project X because it provides counseling at \$333.33 per client compared to \$400 per client for X.

It should be remembered that productivity analysis is process oriented. Productivity analysis in no way provides information about the relative quality of the counseling services provided in Projects X and Y. X may indeed be preferable to Y because it is judged more practical, acceptable, evaluable, etc. Consequently, productivity analysis is not as definitive a decision-making aid as benefit-cost analysis.

Benefit-cost and productivity analyses can be useful to the decision-maker in selecting the most appropriate elements to include in adopting an overall approach to achieve a strategic goal. The decision-maker should understand, however, that these techniques

*Use local example as  
for Benefit-Cost  
Analysis.*

## LECTURE NOTES

### Key Points and Comments

should be used only after the Method of Rationales has been applied to the elements. Neither benefit-cost nor productivity addresses causal or contributing relationships. These techniques implicitly assume such relationships exist between element costs and results. Therefore, it is necessary that these issues be resolved before attempting to apply either of these techniques.

While cost alone is probably an insufficient criterion for recommending or not recommending that a project or activity be funded, it is still useful to the program manager or developer(s) to at least consider the benefit-cost or productivity relationship of competing elements. By simply requiring the cost of the "inputs" be attached to the MOR format, the program manager can have access to this vital information in making decisions concerning which projects should be recommended to the advisory board.

While cost is almost always a crucial criterion, the program manager should apply all five criteria to the information provided in the "decision package" to determine the most appropriate alternative elements that should be considered as pragmatic alternatives to how a strategic goal can be achieved.

#### Restate Criteria:

- Effectiveness
- Cost
- Practicality
- Acceptability
- Evaluability

### (3) Examining Elements: A More Limited Resources Approach

The approach described above requires a major investment of organizational resources. In many cases criminal justice administrators may not be able to invest this level of resources to analyze elements that may be dismissed as possibilities by a planning board or other decision-makers for reasons about which criminal justice

## LECTURE NOTES

### Key Points and Comments

administrators may not be aware. Consequently, criminal justice administrators might choose to limit the depth of the analyses accordingly, seeking input concerning the acceptability of potential elements prior to initiating the type of analyses described above.

#### c. Selecting Strategic Elements and Strategies

The process of selecting strategic elements and strategies using relevant decision criteria will further limit the range of choices remaining for strategies that are feasible for implementation. For example, an element or elements that are absolutely necessary to successfully implement a strategy may be eliminated using decision criteria. This strategy is therefore eliminated from consideration. The Preferred Strategy Decision Package is a useful format for the program developer to present to the criminal justice administrator a synthesis of the examination of the elements of a proposed strategy and how the results of that impact the viability of the strategy in question.

*Refer to Exhibit*

*2-10*

*Preferred Strategy  
Decision Package.*

PREFERRED STRATEGY DECISION PACKAGE

Part I

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

Part II

(One per Strategy)

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

Attachments

Attached Alternative Element Decision Packages to Support Preferred Strategy

## 2. Selecting Preferred Alternatives

Following the selection of alternative strategies utilizing the inputs from the Preferred Strategy Decision Packages, the criminal justice administrator is in a position to assess which alternative strategic goals will --

- be implemented assuming he or she is acting as director of an organizational unit, or
- be recommended to an advisory board if the role being played is that of manager of programs.

The criminal justice administrator, acting either alone or in consultation with member(s) of the program development staff, must carefully examine the potential of the strategies selected to impact the Alternative Strategic Goal(s) they address. The analytical process described in Step 10 and the initial stage of Step 11 may have eliminated a sufficient number of strategies so that the prospects of properly addressing a particular Alternative Strategic Goal are severely limited. The decision to implement a particular strategy must be considered in the context of the potential of the strategy to produce a positive change on its Alternative Strategic Goal. Often, attractive strategies mistakenly become "ends" in themselves when this criterion is applied.

As director of an organizational unit, the criminal justice administrator should evaluate each Alternative Strategic Goal in terms of the potential of the component strategies to attain that Goal. Those Alternative Strategic Goals that are

### Key Points and Comments

Refer to Exhibit  
2-11.

Because this is an expansion of Part I of each of the Decision Packages introduced thus far, this cover sheet can be used in place of all the preceding Part I's for each Normative Goal.

- A. Normative Goal - This identifies the Normative Goal to be addressed.

- C. Important Aspects - This identifies the Problem's causes and effects for which corrective action needs to be considered..

STRATEGIC DECISION PACKAGE

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

Attachment(s)

Attached Part II of the Decision Package for each Preferred Strategy



## LECTURE NOTES

Key Points and Comments
----------------------------

- D. Alternative Strategic Goals - States what is going to be done vis-a-vis the Important Aspects to alleviate the Problem.

- E. Overview of Strategies (by Strategic Goal) - A synopsis of the strategies to be employed in achieving the Strategic Goal.

- F. Strategic Elements (by Strategy) - A listing of the various elements that will be included in a Strategy.

- G. Strategic Rationale(s) - A brief description of how the various strategies for each Alternative Strategic Goal will contribute to achieving that Goal.

- H. Strategic Assessments and Recommendations - A comparison of the relative strengths and weaknesses of each Alternative Strategic Goal and recommendations concerning which should be selected.

b. Attach to the cover sheet Part II of each Preferred Strategy described in E. on the Cover Sheet.

Utilizing the above information, the Advisory Board can then select those Strategic Goals that will be addressed.

The selection of Strategic Goals marks the completion of Step 11, Decision Point 4, and also the completion of Strategic Planning. The selection of Strategic Goals, with their accompanying strategies and elements, answers the question, "What can we make happen and why?" introduced at the outset of this module. In the next episode of the Case Study, we will explore further some of the concepts we have just discussed concerning the importance of strategies and strategic elements in the development of strategic goals.

## CASE STUDY EPISODE FIVE

### A. Introduction

The purpose of this Episode is for participants to apply the decision criteria presented in the lecture in assessing the strategies and strategic elements that could be included in the Downtown Business District Program.

### B. Administration

1. Pass out Episode Five materials.
2. Ask participants to read the instructions for the Episode.
3. Ask for and respond to questions concerning the instructions.
4. Following responses to questions, it is suggested that you assign to each work group two -- preferably, one acceptable and one unacceptable -- of the following five Preferred Strategy Decision Packages for consideration. The work groups should then adjourn to their assigned deliberation areas or "break-out" rooms and complete the exercise as instructed.

CASE STUDY  
EPISODE FIVE

Assessing Strategic Elements and Strategies

Objective:

At the completion of Episode Five, participants should be able to apply Decision Criteria to the assessment of strategies and strategic elements.

Instructions

Please read the documents in the Preferred Strategy Decision Packages that have been assigned to your work group to consider. Using the information provided:

Applying appropriate decision criteria for both strategies and elements, assess the efficacy of each of the strategies in light of the enunciated Normative Goal, the relative Problem Statement, and the Decision Packages presented, with a view toward selecting the most appropriate strategy(ies) that address the strategic goal. Do not spend an inordinate amount of time dealing with the MOR's and the networks.

# Payneless County

PAYNELESS COUNTY  
CRIMINAL JUSTICE PLANNING AGENCY  
313 COURTHOUSE SQUARE  
GOTHAM CITY, MISERY 00007

RICHARD WILLIAMS  
ASSOCIATE DIRECTOR  
OF PLANNING

February 15, 1980

TO: Virgil Voyles  
FROM: Richard Williams  
TOPIC: Preferred Strategies

Enclosed are the Preferred Strategy Decision Packages the staff has developed as possible components of the Downtown Business District Program. We are seeking your review before preparing the draft of the overall program proposal for the Advisory Board. I regret that you were out of the state during the week we developed interim strategies. I would have liked to have had your input on these strategies before we proceeded with examination of the elements.

We are eager to hear your response to the enclosed.

## Preferred Strategy Decision Package #1

### Part I

A. Normative Goal: To reduce crime in the Downtown Business District of Gotham City.

B. Problem Summary: In the five-year period from 1973-78, the increase in index crimes in this area was 46.5%<sup>27</sup> an alarming rise and a full 20% greater than the citywide increase of 26.29%. The crime problem in this area appears to be having a devastating impact on both the businesses in the downtown area and many of the people who are compelled to shop here.

C. Problem Components

Based on an assessment of the Problem Statement for the Downtown Business District, the following appear to be the important components of this problem:

1. Juveniles engaging in criminal behavior
2. Vulnerability of potential "targets" of crime
3. Inadequate crime deterrent and response capability by criminal justice agencies dealing with the downtown business district
4. Ready availability of handguns to potential offenders

D. Alternative Strategic Goals

1. Reduce juvenile criminality in the Downtown Business District
2. Improve juvenile justice apprehension and treatment capacities
3. Upgrade crime deterrent and response capability of criminal justice agencies dealing with crime in the Downtown Business District
4. Enact handgun ordinances to restrict the sale of handguns
5. "Harden" potential crime targets in the Downtown Business District

### Part II

A. Proposed Strategic Goal

Reduce juvenile criminality in the Downtown Business District

B. Strategy Statement

Divert juveniles who potentially commit crimes in the Downtown Business district

C. Potential Strategy Elements

1. Impose a dusk-to-dawn curfew on juveniles in the Downtown Business District
2. Create a Police Athletic League (PAL) to actively recruit and involve "inner city" youth in athletic programs.
3. Reinstitute public school system's evening intramural program.

D. Strategy Rationale

Implementing the elements delineated above would greatly reduce the opportunities of juveniles to commit crimes in the Downtown Business District. The curfew would restrict their mobility in this area during the period when most criminality occurs. The athletic programs would provide alternative "outlets" to reduce the likelihood that the criminality would imply move to the suburban shopping areas.

E. Strategy Assessment

(To be completed by workgroups)

# Proposed Element 1.1

- A. STRATEGIC GOAL: Reduce juvenile criminality in the Downtown Business District.
- B. INTERIM STRATEGY: Divert juveniles who potentially commit crimes in the Downtown Business District
- C. PROPOSED ELEMENT: Impose a dusk-to-dawn curfew on juveniles in the downtown business district.
- D. OBJECTIVE TO BE ACHIEVED: By June 30, 1981 reduce the average weekly number of juveniles loitering in the downtown business district from dusk to dawn by 95% compared to a comparable period in 1980.
- E. COST: \$15,000  
Assumption Cost: \$15,000
- F. RATIONALE FOR ELEMENT: Juveniles comprise a major portion of those committing crimes in the downtown business district. It is impractical to remove adults from this area by imposing a total curfew. This would eliminate the much needed restaurant, theater, and shopping evening trade. The juveniles account for very little of this trade so eliminating them from the streets would remove potential criminals without removing potential customers.
- G. ADVANTAGES: This strategy would, for very little capital outlay, eliminate a substantial population of potential criminals from the downtown business district without eliminating potential customers for the merchants of the area.
- H. DISADVANTAGES: This strategy might simply have the effect of displacing the juveniles to another area of town and creating another hot bed of criminal activity elsewhere. Curfews can also be very sensitive politically.

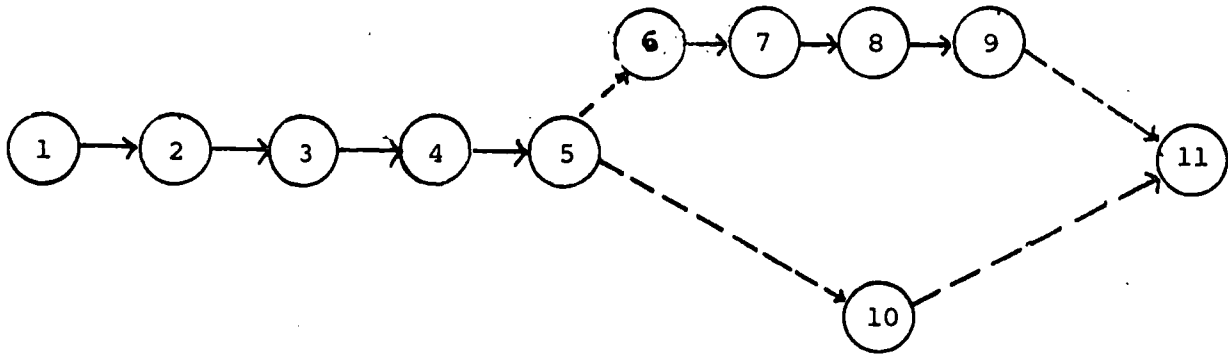
# MOR

- A. PROPOSED ELEMENT: Implement a Dusk-to-Dawn Juvenile Curfew
- B. INPUTS:
1. New "curfew officer"
  2. Dusk-to-dawn juvenile curfew ordinance
- C. MAJOR ACTIVITIES:
1. Draft proposed ordinance.
  2. Pass ordinance.
  3. Recruit, interview, and hire a new curfew officer.
  4. Train curfew officer.
  5. Impose dusk-to-dawn curfew for juveniles.
  6. Enforce dusk-to-dawn curfew for juveniles.
- D. IMMEDIATE RESULTS:
- By June 30, 1981, reduce juveniles loitering in the downtown business district, on a weekly average, by 95% compared to a comparable period during 1980.
- E. OUTCOMES:
- Reduce juvenile criminality in the downtown business district.



# Network

PROJECT: Implement a "Dusk-to-Dawn" Juvenile Curfew



---

## ACTIVITIES

---

- |                                      |   |
|--------------------------------------|---|
| 1. Start.                            | 9. Train "Curfew Officer."                              |
| 2. Draft proposed ordinance.         | 10. Publicize ordinance in junior high and high schools |
| 3. Endorsement by Advisory Board.    | 11. Enforce ordinance.                                  |
| 4. Present to City Council.          |   |
| 5. Council enacts.                   |   |
| 6. Announce "Curfew Officer" vacancy |   |
| 7. Screen applicants.                |   |
| 8. Select "Curfew Officer".          |   |

---

Key: ○ Activity  
----- Relationship  
→ Sequence of Activities

# Proposed Element 1.2

- A. STRATEGIC GOAL: Reduce juvenile criminality in the Downtown Business District.
- B. INTERIM STRATEGY: Divert juveniles who potentially commit crimes in the downtown business district.
- C. PROPOSED ELEMENT: Create a Police Athletic League (PAL) composed of members of the Gotham City Police Department to actively recruit and involve "inner-city" youths in athletic programs.
- D. OBJECTIVE TO BE ACHIEVED: By June 30, 1981 reduce by 20% the average weekly number of juveniles loitering in the downtown business district compared to a comparable period during 1980.
- E. COST: \$2,500  
Assumption Cost: \$1,000
- F. RATIONALE FOR ELEMENT: Two of the most important athletic outlets (public school athletic program and public gymnasium) are no longer available to the inner-city youth. This lack of diversionary stimuli is believed to be contributing to the rise in crimes committed by juveniles especially in the downtown area. An extensive PAL would not only provide an athletic outlet for some of these youths, but it would also acquaint them with police officers on a more personal basis. These acquaintances could form the bases for more appropriate adult role models than some of those currently available to the inner city youths within their present living environments.
- G. ADVANTAGES: This strategy would enable the youths to help themselves by becoming involved in some athletic activity. It would also further provide them an opportunity to know and perhaps use as role models individual law enforcement officers. Finally, these relationships would also acquaint the officers with the inner-city youths, giving them greater insights into the particular problems faced by these youths and how to solve those problems.

# Proposed Element

## H. DISADVANTAGES:

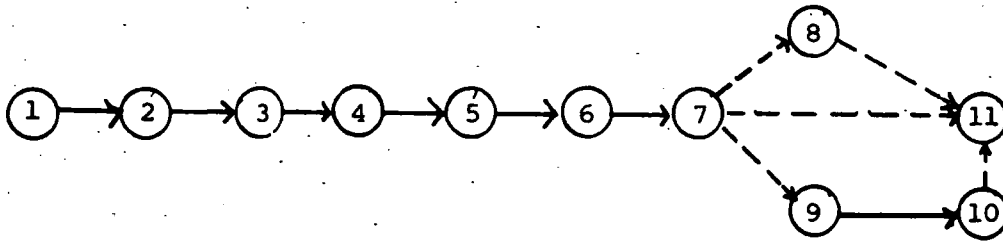
This strategy would involve a great deal of commitment on the part of the off-duty law enforcement officers. Although the expense to the city would be minimal (equipment and uniforms), the program's survival would be totally dependent on volunteer support which might be difficult to achieve and maintain. Furthermore, any positive effects associated with this program would be difficult to measure.

# MOR

- A. PROPOSED ELEMENT: Create a Police Athletic League (PAL)
- B. INPUTS:
1. Police Athletic League "coaches"
  2. Athletic supplies and equipment
  3. Police training gym
- C. MAJOR ACTIVITIES:
1. Recruit police officers for PAL.
  2. Recruit juveniles for PAL.
  3. Form PAL teams.
  4. Purchase PAL uniforms and equipment.
  5. Develop and implement PAL playing schedule.
- D. IMMEDIATE RESULTS:
- By June 30, 1981, reduce by 20% the number of juveniles loitering in the downtown business district, on a weekly average, compared to a comparable period in 1980.
- E. OUTCOMES:
- Reduce juveniles criminality in the downtown business district.

# Network

PROJECT: Create Police Athletic League



---

## ACTIVITIES

---

- |  |                               |
|--|-------------------------------|
| 1. Start.                                | 9. Form teams.                |
| 2. Publicize need for volunteers.        | 10. Develop playing schedule. |
| 3. Screen volunteers.                    | 11. Begin play.               |
| 4. Select PAL staff.                     |                               |
| 5. Develop participant recruitment plan. |                               |
| 6. Conduct recruitment.                  |                               |
| 7. Enlist participants.                  |                               |
| 8. Purchase uniforms and equipment.      |                               |

---

KEY: ○ Activity  
----- Relationship  
→ Sequence of Activities

# Proposed Element 13

- A. STRATEGIC GOAL: Reduce juvenile criminality in the Downtown Business District.
- B. INTERIM STRATEGY: Divert juveniles who potentially commit crimes in the downtown business district.
- C. PROPOSED ELEMENT: Reinstitute the public school system's evening intramural athletic program.
- D. OBJECTIVE TO BE ACHIEVED: By June 30, 1981, reduce by 20% the average weekly number of high school and junior high school students "loitering" in the downtown business district compared to a comparable period during fiscal year 1980.
- E. COST: None from LEAA funds. The Gotham City School Board estimates that the cost to reinstitute the evening intramural program would be about \$125,000 per year. The Downtown Merchant's Association has agreed to donate \$25,000 to help fund the program the first year. The Association has indicated that it will consider funding on an on-going basis if it can be demonstrated that the program is successful in alleviating downtown crime.
- F. RATIONALE FOR ELEMENT: It is believed that the abolition of the evening intramural athletic program three years ago has led to a marked increase in the number of junior high and high school students who just "roam" the downtown business district during the evening hours. It is further believed that the boredom that accompanies their behavior leads initially to petty criminal activity, e.g. shoplifting. Unfortunately, it can sometimes result in more serious criminal behavior, e.g. gang fights, joyriding, and so on. It is hoped that the evening intramural program would offer an alternative that would alleviate this situation.
- G. ADVANTAGES: No LEAA fund involvement. The community, i.e., the School Board and Merchants' Association, could feel that they themselves were doing something to alleviate the downtown crime problem. This strategy represents a more "positive" approach to dealing with young people

# Proposed Element

than increasing law enforcement strength in the downtown area.

## H. DISADVANTAGES:

There is no way of knowing at the outset if the juveniles who are actually responsible for the downtown problem will participate in this program.

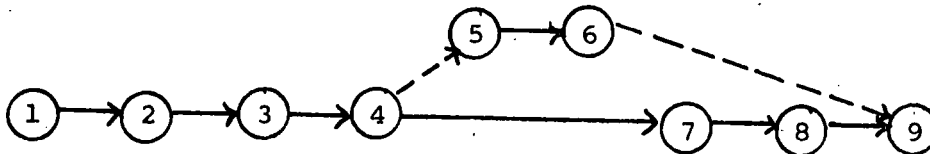
# MOR

- A. PROPOSED ELEMENT: Re-institute Public School System Evening Intramural Athletic Program.
- B. INPUTS:
1. Public school recreation facilities
  2. Personnel to conduct program
  3. Athletic equipment and supplies
- C. MAJOR ACTIVITIES:
1. Recruit staff.
  2. Recruit participants.
  3. Purchase needed equipment.
  4. Organize teams.
  5. Conduct games and other related activities.
- D. IMMEDIATE RESULTS: By June 30, 1981, reduce by 20% the average weekly number of high school and junior high school students "loitering" in the downtown business district compared to a comparable period during fiscal year 1980.
- E. OUTCOMES: Reduce juvenile criminality in the downtown business district.



# Network

PROJECT: Re-institute Public School Evening Intramural Athletic Program



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## ACTIVITIES

---

- |   |                                     |
|---|-------------------------------------|
| 1. Obtain School Board approval to reinstitute program. | 8. Organize teams.                  |
| 2. Publicize position openings.                         | 9. Begin league practice and games. |
| 3. <u>Screen</u> applicants.                            |                                     |
| 4. Select applicants.                                   |                                     |
| 5. Specify needed equipment.                            |                                     |
| 6. Purchase needed equipment.                           |                                     |
| 7. Recruit participants.                                |                                     |

---

Key: ○ Activity  
----- Relationship  
→ Sequence of Activities

## Preferred Strategy Decision Package #2

### Part I

A. Normative Goal: To reduce crime in the Downtown Business District of Gotham City.

B. Problem Summary: In the five-year period from 1973-78, the increase in index crimes in this area was 46.5%, an alarming rise and a full 20% greater than the citywide increase of 26.29%. The crime problem in this area appears to be having a devastating impact on both the businesses in the downtown area and many of the people who are compelled to shop here.

C. Problem Components

Based on an assessment of the Problem Statement for the Downtown Business District, the following appear to be the important components of this problem:

1. Juveniles engaging in criminal behavior
2. Vulnerability of potential "targets" of crime
3. Inadequate crime deterrent and response capability by criminal justice agencies dealing with the downtown business district
4. Ready availability of handguns to potential offenders

D. Alternative Strategic Goals

1. Reduce juvenile criminality in the Downtown Business District
2. Improve juvenile justice apprehension and treatment capacities
3. Upgrade crime deterrent and response capability of criminal justice agencies dealing with crime in the Downtown Business District
4. Enact handgun ordinances to restrict the sale of handguns
5. "Harden" potential crime targets in the Downtown Business District

## Part II

### A. Proposed Strategic Goal

Improve juvenile justice apprehension and treatment capacities

### B. Strategy Statement

Improve the capability of juvenile authorities to apprehend and treat juvenile offenders.

### C. Potential Strategy Elements

1. Create a specialized juvenile task force within the Gotham City Police Department to function specifically in the Downtown Business District.
2. Establish a community-based treatment facility for juvenile probationers and parolees.

### D. Strategy Rationale

The implementation of the above stated elements would provide the dual capacities required to effectively deter criminality by this group. The "task force" will greatly enhance the capacity to apprehend these offenders, and the treatment facility will fill the long-recognized void in this area.

### E. Strategy Assessment

(To be completed by workgroups)

# Proposed Element 2.1

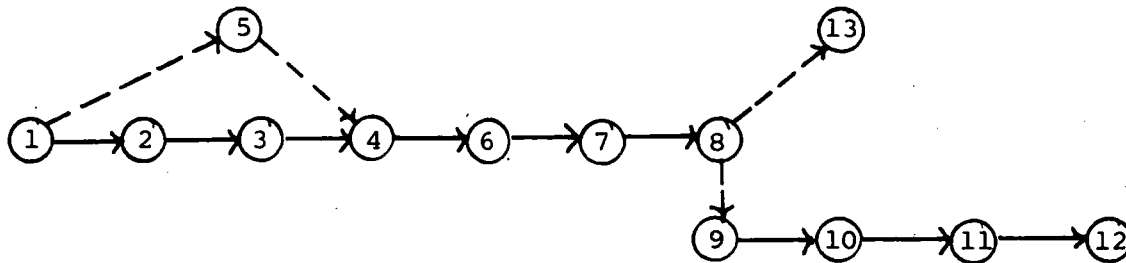
- A. STRATEGIC GOAL: Improve juvenile justice apprehension and treatment capacities.
- B. INTERIM STRATEGY: Improve the capability of juvenile authorities to apprehend and treat juvenile offenders.
- C. PROPOSED ELEMENT: Create a specialized juvenile task force within the Gotham City Police Department to function specifically in the downtown business district.
- D. OBJECTIVE TO BE ACHIEVED: By December 31, 1980, have 12 juvenile law enforcement officers working in the downtown business district compared to no juvenile officers working on June 30, 1980.
- E. COST: \$212,600  
Assumption Cost: \$185,000
- F. RATIONALE FOR ELEMENT: Juveniles are responsible for a great deal of the crime committed in the downtown business district. Increasing the number of juvenile officers would lead to increased apprehension and greater deterrence.
- G. ADVANTAGES: Juveniles constitute a unique crime problem within the downtown business district. It is believed that much of their criminal activity is drug and peer group (gang) - related in nature. The Gotham City Police Department does not currently have the trained resources to deal with this type of criminal activity. This task force would provide such a resource. The Chief strongly endorses this strategy.
- H. DISADVANTAGES: The strategy is costly. It is unclear what specific impact such a task force would have on the downtown business district crime problem as opposed to a simple increase in regular "beat" officers.

# MOR

- A. PROPOSED ELEMENT: Create a Juvenile Task Force to Deal Specifically with Downtown Business District.
- B. INPUTS:
1. Twelve new juvenile law enforcement officers
  2. Supplies and equipment for the officers
  3. Training course in dealing with juveniles
- C. MAJOR ACTIVITIES:
1. Recruit and train officers
  2. Purchase supplies and equipment
  3. Patrol downtown business district
  4. Conduct crime deterrent activities in junior and senior high schools, e.g. seminars
  5. Perform crime prevention activities involving juvenile gangs, e.g., counseling, encouragement to participants in crime-free activities such as PAL, intramurals, etc.
- D. IMMEDIATE RESULTS: By December 31, 1980 have 12 juvenile law enforcement officers working in the downtown business district compared to no officers working on June 30, 1980.
- E. OUTCOMES: Improve juvenile justice apprehension and treatment capacities.

# Network

PROJECT: Create a Specialized Juvenile Task Force within the Gotham City Police Department



---

## ACTIVITIES

---

- |   |   |
|---|---|
| 1. Appoint Director (from existing P.D. personnel). | 9. Prepare seminar format for junior high and high school seminars. |
| 2. Announce juvenile officer vacancies.             | 10. Approve format.   |
| 3. Screen applicants.                               | 11. Schedule seminars.  |
| 4. Select task force members.                       | 12. Conduct seminars.   |
| 5. Purchase supplies and equipment.                 | 13. Perform crime prevention activities involving juvenile gangs.   |
| 6. Begin training sessions.                         |   |
| 7. End training sessions.                           |   |
| 8. Begin downtown business district patrols.        |   |
- 

Key: ○ Activity  
----- Relationship  
-----> Sequence of Activities

# Proposed Element 2.2

- A. STRATEGIC GOAL: Improve juvenile justice apprehension and treatment capacities.
- B. INTERIM STRATEGY: Improve the capability of juvenile authorities to apprehend and treat juvenile offenders.
- C. PROPOSED ELEMENT: Establish a community based treatment facility for juvenile probationers and parolees.
- D. OBJECTIVE TO BE ACHIEVED: By June 30, 1981, provide intensive counseling services and other support services on an "out patient" basis for a minimum of 250 juveniles, probationers and parolees convicted of offenses committed in the downtown business district.
- E. COST: \$310,000  
Assumption cost: \$78,500
- F. RATIONALE FOR ELEMENT: A large number of juveniles are arrested each year for crimes committed in the downtown district. Most are released (85%) without being tried. The reason for this high percentage appears to be the lack of a solid resource to assist the juvenile probation and parole agency in dealing with the potentially large number of offenders who would require services if tried and convicted. The present juvenile probation and parole officers in Gotham City and Payneless County do an excellent job. However, the magnitude of the ~~juvenile~~ crime problem in the downtown business district requires a special "out-patient" treatment center to provide intensive counseling and other support services to deal with this group of offenders.
- G. ADVANTAGES: This effort would concentrate on those offenders identified as directly contributing to the downtown business district problem. Local and state ~~juvenile~~ officials strongly endorse this approach as being the best available for providing meaningful intervention in this offender population.
- H. DISADVANTAGES: None programmatically. Some possible problems may arise in assuming funding of the program unless success is clearly demonstrated.

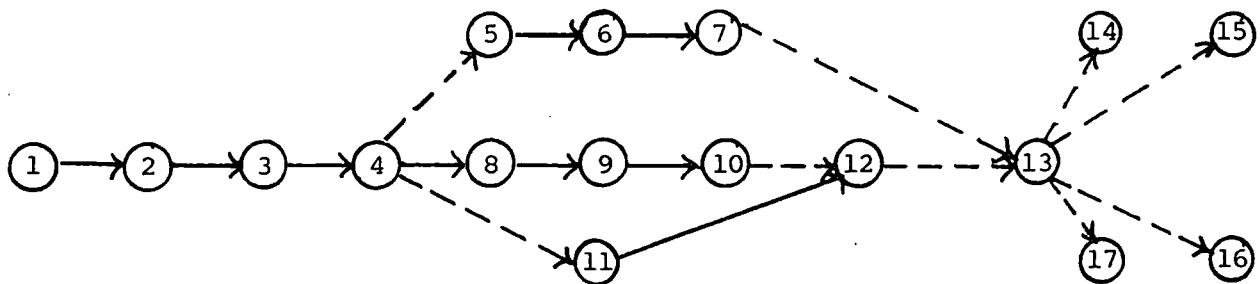
# MOR

- A. PROPOSED ELEMENT: Establish a Community-Based Treatment Facility for Juvenile Probationers and Parolees
- B. INPUTS:
1. Facility
  2. Supplies and equipment
  3. Car
  4. Staff
  5. Staff training program
- C. MAJOR ACTIVITIES:
1. Locate and rent facility.
  2. Hire director.
  3. Hire and train staff.
  4. Purchase car, supplies, and equipment.
  5. Provide job counseling to juvenile probationers and parolees.
  6. Assist clients in locating jobs.
  7. Perform group counseling sessions.
  8. Provide individual counseling.
  9. Help clients in locating suitable housing.
- D. IMMEDIATE RESULTS:
- By June 30, 1981 provide intensive counseling services and other support services on an "out-patient" and residential basis for a minimum of 250 juvenile probationers and parolees convicted of offenses in the downtown business district. 50-60 offenders could be housed (20 at a given time) during this time period.
- E. OUTCOMES:
- Improve juvenile justice apprehension and treatment capacities.



# Network

**PROJECT:** Establish a Community-Based Treatment Facility for Juvenile Probationers and Parolees




---

## ACTIVITIES

---

- |                                     |  |
|-------------------------------------|--|
| 1. Start.                           | 10. Select staff.                                |
| 2. Advertise Director vacancy.      | 11. Design staff training program.               |
| 3. Screen applicants.               | 12. Conduct training program.                    |
| 4. Select Director.                 | 13. Open facility.                               |
| 5. Lease car.                       | 14. Begin job counseling.                        |
| 6. Rent facility.                   | 15. Begin group counseling.                      |
| 7. Purchase supplies and equipment. | 16. Begin individual counseling.                 |
| 8. Advertise staff vacancies.       | 17. Assist clients in locating suitable housing. |
| 9. Screen applicants.               |  |
- 

KEY: ○ Activity  
 --- Relationship  
 → Sequence of Activities

Preferred Strategy Decision Package #3

Part I

A. Normative Goal: To reduce crime in the Downtown Business District of Gotham City.

B. Problem Summary: In the five-year period from 1973-78, the increase in index crimes in this area was 46.5%, an alarming rise and a full 20% greater than the citywide increase of 26.29%. The crime problem in this area appears to be having a devastating impact on both the businesses in the downtown area and many of the people who are compelled to shop here.

C. Problem Components

Based on an assessment of the Problem Statement for the Downtown Business District, the following appear to be the important components of this problem:

1. Juveniles engaging in criminal behavior
2. Vulnerability of potential "targets" of crime
3. Inadequate crime deterrent and response capability by criminal justice agencies dealing with the downtown business district
4. Ready availability of handguns to potential offenders

D. Alternative Strategic Goals

1. Reduce juvenile criminality in the Downtown Business District
2. Improve juvenile justice apprehension and treatment capacities
3. Upgrade crime deterrent and response capability of criminal justice agencies dealing with crime in the Downtown Business District
4. Enact handgun ordinances to restrict the sale of handguns
5. "Harden" potential crime targets in the Downtown Business District

## Part II

### A. Proposed Strategic Goal

Upgrade crime deterrent and response capability of criminal justice agencies dealing with crime in the Downtown Business District.

### B. Strategy Statement

Improve the capability of the Gotham City Police Department to deal with crime in the Downtown Business District.

### C. Potential Strategy Elements

1. Create a Crime Prevention Unit in Gotham City Police Department to assist downtown merchants in target hardening.
2. Establish and staff a "storefront" precinct office in the Downtown Business District.
3. Create a specialized juvenile task force within the Gotham City Police Department to function specifically in the Downtown Business District.
4. Increase Gotham City criminalysis capability by adding a computer software package that will assist in allocating personnel according to time and frequency of criminal offenses.
5. Create a Police Athletic League (PAL) composed of members of the Gotham City Police Department to actively recruit and involve "inner-city" youths in athletic programs.

### D. Strategy Rationale

Implementation of the above elements will enhance the capacity of the Gotham City Police Department to both prevent and respond to crimes in the Downtown Business District.

### E. Strategy Assessment

(To be completed by workgroups)

# Proposed Element 3.1

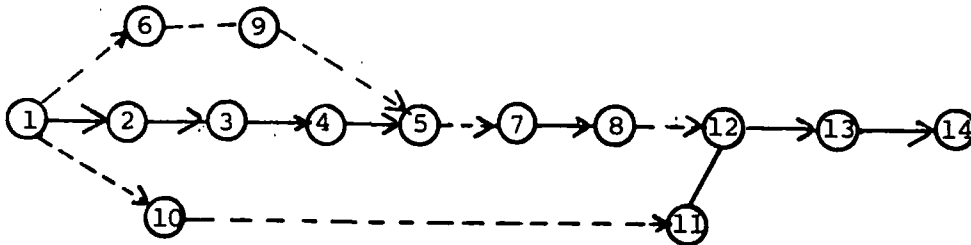
- A. STRATEGIC GOAL: Upgrade crime deterrent and response capability of criminal justice agencies dealing with crime in the Downtown Business District.
- B. INTERIM STRATEGY: Improve the capability of the Gotham City Police Department to deal with crime in the Downtown Business District.
- C. PROPOSED ELEMENT: Create a Crime Prevention Unit in the Gotham City Police Department to assist downtown merchants in target-hardening.
- D. OBJECTIVE TO BE ACHIEVED: By June 30, 1981, the value of theft-losses (corrected for inflation) for the merchants participating in the CPU project will be reduced by 75% compared to their losses for fiscal year 1980.
- E. COST: \$71,500  
Assumption Cost: \$42,500 per annum
- F. RATIONALE FOR ELEMENTS: The merchants in the downtown business district have engaged in few target-hardening activities to date. Their businesses are vulnerable, and the theft rate reflects this. A systematic crime prevention program could reduce this vulnerability.
- G. ADVANTAGES: This strategy would enable the merchants to help themselves to a degree. Based on relevant studies, target-hardening is a cost-effective method to curb the types of crime plaguing the downtown business district.
- H. DISADVANTAGES: The Chief really isn't completely sold on the crime prevention concept. He expressed the opinion that a lot of the claims about crime prevention appear to be public relations gimmicks. He would be willing, however, to try such an approach if the Planning Agency funded it.

# MOR

- A. PROPOSED ELEMENT: Establish a Crime Prevention Unit (CPU) in the downtown business district.
- B. INPUTS:
1. CPU director (from existing Gotham City personnel)
  2. Three law enforcement officers
  3. Crime prevention "train-the-trainers" course
  4. Car and equipment
  5. Audio-visual and demonstration materials
- C. MAJOR ACTIVITIES:
1. Recruit and train three crime prevention unit officers.
  2. Procure car and equipment.
  3. Purchase required audio-visual and other related supplies and equipment.
  4. Conduct public seminars for downtown merchants.
  5. Provide direct target-hardening technical assistance to downtown merchants.
- D. IMMEDIATE RESULTS: During fiscal year 1981, the value of losses (corrected for inflation) for the merchants participating in the CPU project will be reduced by 75% compared to their losses for fiscal year 1980.
- E. OUTCOMES: Upgrade crime deterrent and response capability of the Gotham City Police Department to deal with crime in the Downtown Business District.

# Network

PROJECT: Establish Crime Prevention Unit in Gotham City Police Department



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## ACTIVITIES

---

- |   |   |
|---|---|
| 1. Appoint director of CPU.                     | 10. Purchase audio-visual and other related supplies and equipment          |
| 2. Announce officer openings.                   | 11. Schedule seminars   |
| 3. Screen applicants.                           | 12. Conduct seminars.   |
| 4. Interview selected applicants.               | 13. Provide target-hardening technical assistance to 12 downtown merchants. |
| 5. Select new officers.                         | 14. Complete target hardening technical assistance.                         |
| 6. Select appropriate training course.          |   |
| 7. Enroll officers in selected training course. |   |
| 8. Complete training course.                    |   |
| 9. Procure car and equipment.                   |   |

---

KEY: ○ Activities  
----- Relationship  
-----> Sequence of Activities

# Proposed Element 3.2

- A. STRATEGIC GOAL: Upgrade crime deterrent and response capability of criminal justice agencies dealing with crime in the downtown business district.
- B. INTERIM STRATEGY: Improve the capability of the Gotham City Police Department to deal with crime in the Downtown Business District.
- C. PROPOSED ELEMENT: Establish and staff a "storefront precinct office" in the downtown business district.
- D. OBJECTIVE TO BE ACHIEVED: By April 30, 1980, increase by 60% the number of Gotham City Police officers patrolling the downtown business district compared to the January 1, 1980 staffing pattern.
- E. COST: \$367,500  
Assumption Cost: \$367,500 per annum
- F. RATIONALE FOR ELEMENT: Establishing an on-going precinct in the downtown business district would deter crime and enhance responsiveness to crimes when they are committed.
- G. ADVANTAGES: This strategy would increase the capability of the Gotham City Police Department to deter and respond more quickly to crime in the downtown business district without creating a "drain" on existing departmental resources. The Chief is a strong proponent of this approach.
- H. DISADVANTAGES: The cost is high, both initially and in the long run. Downtown merchants are concerned that a precinct office will create the image of a "police state" in their area. According to the President of the Downtown Merchants Association, most merchants would prefer a more "low key" approach.

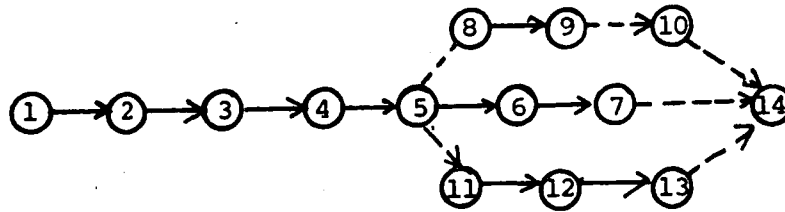
# M O R

- A. PROPOSED ELEMENT: Establish a "Storefront" Precinct Office in Downtown Business District.
- B. INPUTS:
1. 14 new law enforcement officers
  2. Precinct office
  3. One secretary
- C. MAJOR ACTIVITIES:
1. Recruit, screen, and hire new law enforcement officers.
  2. Train new law enforcement officers.
  3. Establish a precinct office.
  4. Recruit, screen, and hire a stenographer.
  5. Rent a new precinct office.
  6. Operate new precinct office.
  7. Purchase supplies and equipment.
- D. IMMEDIATE RESULTS: By April 30, 1980, increase by 60% the number of Gotham City police officers patrolling the downtown business district compared to the January 1, 1980, staffing patterns.
- E. OUTCOMES: Upgrade crime deterrent and response capability of the Gotham City Police Department to deal with crime in the downtown business district.



# Network

PROJECT: Establish a "Storefront" Precinct Office in the Downtown Business District



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## ACTIVITIES

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- |  |                                     |
|--|-------------------------------------|
| 1. Start.  | 9. Purchase supplies and equipment. |
| 2. Select precinct commanding officer (from existing P.D. personnel) | 10. Furnish office.                 |
| 3. Advertise officer vacancies.                                      | 11. Announce stenographer vacancy.  |
| 4. Screen applicants.  | 12. Screen applicants.              |
| 5. Select officers.  | 13. Select stenographer.            |
| 6. Officers participate in training course.                          | 14. Open precinct office.           |
| 7. Officers complete training course.                                |                                     |
| 8. Rent "storefront" office.   |                                     |

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Key: ○ Activities  
----- Relationship  
-----> Sequence of Activities

# Proposed Element 3.3

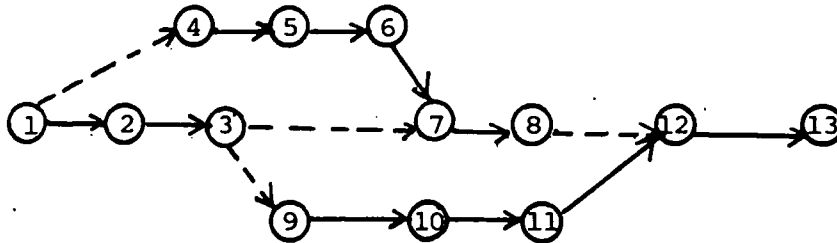
- A. STRATEGIC GOAL: Upgrade crime deterrent and response capability of criminal justice agencies dealing with crime in the downtown business district.
- B. INTERIM STRATEGY: Improve the capability of the Gotham City Police Department to deal with crime in the Downtown Business District.
- C. PROPOSED ELEMENT: Increase Gotham City Criminalanalysis capability by adding a computer software package that will assist in allocating personnel according to time and frequency of criminal offenses.
- D. OBJECTIVE TO BE ACHIEVED: By December 31, 1980, increase by 40% the number of Gotham City Police officers patrolling the downtown business district during "high crime" periods compared to the June 30, 1980, staffing pattern.
- E. COST: \$33,500  
Assumption cost: \$15,600 per annum
- F. RATIONALE FOR ELEMENT: The Gotham City Police Department currently allocates personnel more on tradition than need. This project would give them the capability to more rationally assign their officers.
- G. ADVANTAGES: This is a relatively low cost approach to better utilize existing human resources. It should increase the visibility and availability of police officers during those periods of highest crime activity.
- H. DISADVANTAGES: None identified.

# M O R

- A. PROPOSED ELEMENT: Add Resource Allocation Software Package to Gotham City Police Department Criminalysis Capability.
- B. INPUTS:
1. Software package
  2. Computer programmer
  3. Training course
  4. Revised data input forms
- C. MAJOR ACTIVITIES:
1. Select and purchase software package.
  2. Select and train computer programmer.
  3. Revise incident report forms.
  4. Create data base.
  5. Provide data analysis to division commanders.
- D. IMMEDIATE RESULTS: By December 31, 1980, there will be a 40% increase in the number of Gotham City Police Officers patrolling the downtown business district during "high crime" periods compared to the June 30, 1980, staffing pattern.
- E. OUTCOMES: Upgrade crime deterrent and response capability of the Gotham City Police Dept. to deal with crime in the downtown business district.

# Network

PROJECT: Add Resource Allocation Software Package to Gotham City  
Police Department Criminalysis Capability



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## ACTIVITIES

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- |  |  |
|--|--|
| 1. Start project.  | 9. Revise incident review forms<br>for compatibility with soft-<br>ware package. |
| 2. Examine resource allocation<br>software packages.                                   | 10. Approve revisions.   |
| 3. Select software package.  | 11. Provide revised forms to<br>divisions.                                       |
| 4. Announce computer programmer<br>vacancy.  | 12. Create data base.  |
| 5. Interview applicants.   | 13. Provide data analysis to<br>division commanders.                             |
| 6. Select computer programmer.   |  |
| 7. Enroll computer programmer in<br>in training course to operate<br>software package. |  |
| 8. Programmer completes training<br>course.  |  |

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Key: ○ Activity  
----- Relationship  
————→ Sequence of Activities

# Proposed Element 3.4

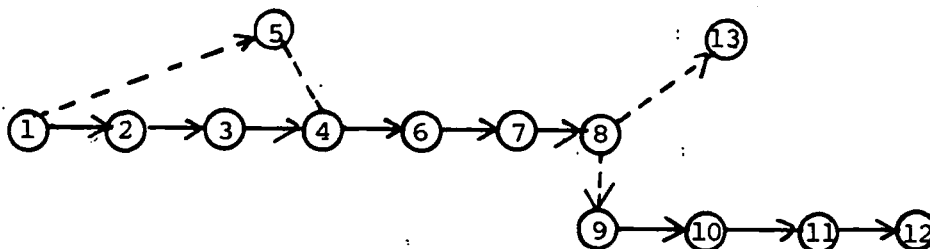
- A. STRATEGIC GOAL: Upgrade crime deterrent and response capability of criminal justice agencies dealing with crime in the downtown business district.
- B. INTERIM STRATEGY: Improve the capability of the Gotham City Police Department to deal with crime in the Downtown Business District.
- C. PROPOSED ELEMENT: Create a specialized juvenile task force within the Gotham City Police Department to deal specifically with the downtown business district.
- D. OBJECTIVE TO BE ACHIEVED: By December 31, 1980, have 12 juvenile law enforcement officers working in the downtown business district compared to no juvenile officers working on June 30, 1980.
- E. COST: \$212,600  
Assumption Cost: \$185,000
- F. RATIONALE FOR ELEMENT: Juveniles are responsible for a great deal of the crime committed in the downtown business district. Increasing the number of juvenile officers would lead to increased apprehension and greater deterrence.
- G. ADVANTAGES: Juveniles constitute a unique crime problem within the downtown business district. It is believed that much of their criminal activity is drug and peer group (gang) - related in nature. The Gotham City Police Department does not currently have the trained resources to deal with this type of criminal activity. This task force would provide such a resource. The Chief strongly endorses this strategy.
- H. DISADVANTAGES: The strategy is costly. It is unclear what specific impact such a task force would have on the downtown business district crime problem as opposed to a simple increase in regular "beat" officers.

# M O R

- A. PROPOSED ELEMENT: Create a Juvenile Task Force to Deal Specifically with Downtown Business District
- B. INPUTS:
1. Twelve new juvenile law enforcement officers
  2. Supplies and equipment for the officers
  3. Training course in dealing with juveniles
- C. MAJOR ACTIVITIES:
1. Recruit and train officers.
  2. Purchase supplies and equipment.
  3. Patrol downtown business district.
  4. Conduct crime deterrent activities in junior and senior high schools, e.g. seminars.
  5. Perform crime prevention activities involving juvenile gangs, e.g. counseling, encouragement to participate in crime-free activities such as PAL, intramurals, etc.
- D. IMMEDIATE RESULTS: By December 31, 1980, have 12 juvenile law enforcement officers working in the downtown business district compared to no officers working on June 30, 1980.
- E. OUTCOMES: Upgrade crime deterrent and response capability of the Gotham City Police Dept. to deal with crime in the downtown business district.

# Network

**PROJECT:** Create a Specialized Juvenile Task Force within the Gotham City Police Department




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## ACTIVITIES

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- |   |   |
|---|---|
| 1. Appoint Director (from existing P.D. personnel). | 9. Prepare seminar format for junior high and high school seminars. |
| 2. Announce juvenile officer vacancies.             | 10. Approve format.   |
| 3. Screen applicants.                               | 11. Schedule seminars.  |
| 4. Select task force members.                       | 12. Conduct seminars.   |
| 5. Purchase supplies and equipment.                 | 13. Perform crime prevention activities involving juvenile gangs.   |
| 6. Begin training sessions.                         |   |
| 7. End training sessions.                           |   |
| 8. Begin downtown business district patrols.        |   |
- 

Key: ○ Activity  
 ----- Relationship  
 —————> Sequence of Activities

# Proposed Element 3.5

- A. STRATEGIC GOAL: Upgrade crime deterrent and response capability of criminal justice agencies dealing with crime in the Downtown Business District.
- B. INTERIM STRATEGY: Improve the capability of the Gotham City Police Department to deal with crime in the Downtown Business District.
- C. PROPOSED ELEMENT: Create a Police Athletic League (PAL) composed of members of the Gotham City Police Department to actively recruit and involve "inner-city" youths in athletic programs.
- D. OBJECTIVE TO BE ACHIEVED: By June 30, 1981, reduce by 20% the average weekly number of juveniles loitering in the downtown business district compared to a comparable period during 1980.
- E. COST: \$2,500  
Assumption Cost: \$1,000
- F. RATIONALE FOR ELEMENT: Two of the most important athletic outlets (public school athletic program and public gymnasium) are no longer available to the inner city youth. This lack of diversionary stimuli is believed to be contributing to the rise in crimes committed by juveniles especially in the downtown area. An extensive PAL would not only provide an athletic outlet for some of these youths, but it would also acquaint them with police officers on a more personal basis. These acquaintances could form the bases for more appropriate adult role models than some of those currently available to the inner city youths within their present living environments.
- G. ADVANTAGES: This strategy would enable the youths to help themselves by becoming involved in some athletic activity. It would also further provide them an opportunity to know and perhaps use as role models individual law enforcement officers. Finally, these relationships would also acquaint the officers with the inner city youths, giving them greater insights into the particular problems faced by these youths and how to solve those problems.



# Proposed Element

## H. DISADVANTAGES:

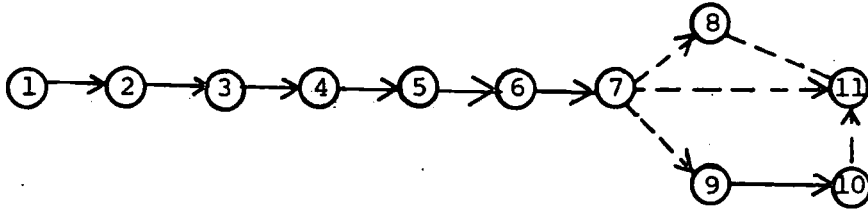
This strategy would involve a great deal of commitment on the part of the off-duty law enforcement officers. Although the expense to the city would be minimal (equipment and uniforms), the program's survival would be totally dependent on volunteer support which might be difficult to achieve and maintain. Furthermore, any positive effects associated with this program would be difficult to measure.

# M O R

- A. PROPOSED ELEMENT: Create a Police Athletic League (PAL)
- B. INPUTS:
1. Police Athletic League "coaches"
  2. Athletic supplies and equipment
  3. Police training gym
- C. MAJOR ACTIVITIES:
1. Recruit police officers for PAL.
  2. Recruit juveniles for PAL.
  3. Form PAL teams.
  4. Purchase PAL uniforms and equipment.
  5. Develop and implement PAL playing schedule.
- D. IMMEDIATE RESULTS: By June, 1981, reduce by 20% the number of juveniles loitering in the downtown business district, on a weekly average, compared to a comparable period in 1980.
- D. OUTCOMES: Upgrade crime deterrent and response capability of the Gotham City Police Department to deal with crime in the downtown business district.

# Network

PROJECT: Create Police Athletic League



---

## ACTIVITIES

---

- |  |                               |
|--|-------------------------------|
| 1. Start.                                | 9. Form teams.                |
| 2. Publicize the need for volunteers.    | 10. Develop playing schedule. |
| 3. Screen volunteers.                    | 11. Begin play.               |
| 4. Select PAL staff.                     |                               |
| 5. Develop participant recruitment plan. |                               |
| 6. Conduct recruitment.                  |                               |
| 7. Enlist participants.                  |                               |
| 8. Purchase uniforms and equipment.      |                               |

---

Key: ○ Activity  
----- Relationship  
-----> Sequence of Activities

## Preferred Strategy Decision Package #4

### Part I

- A. Normative Goal: To reduce crime in the Downtown Business District of Gotham City
- B. Problem Summary: In the five-year period from 1973-78, the increase in index crimes in this area was 46.5%, an alarming rise and a full 20% greater than the city-wide increase of 26.29%. The crime problem in this area appears to be having a devastating impact on both the businesses in the downtown area and many of the people who are compelled to shop there.
- C. Problem Components: Based on an assessment of the Problem Statement for the Downtown Business District, the following appear to be the important components of this problem:
1. Juveniles engaging in criminal behavior
  2. Vulnerability of potential "targets" of crime
  3. Inadequate crime deterrent and response capability by criminal justice agencies dealing with the downtown business district
  4. Ready availability of handguns to potential offenders
- D. Alternative Strategic Goals
1. Reduce juvenile criminality in the Downtown Business District
  2. Improve juvenile justice apprehension and treatment capacities
  3. Upgrade crime deterrent and response capability of criminal justice agencies dealing with crime in the downtown business district
  4. Enact handgun ordinances to restrict the sale of handguns
  5. "Harden" potential crime targets in the downtown business district

### Part II

- A. Proposed Strategic Goal
- Enact handgun ordinances to restrict the sale of handguns
- B. Strategy Statement
- Pass a local ordinance requiring a check of police records to

determine if a potential purchaser of a handgun has a criminal record.

C. Potential Strategy Element(s)

Pass a local ordinance requiring a check of police records to determine if a potential purchaser of a handgun has a criminal record.

D. Strategy Rationale

During 1978, over 80% of the recidivists arrested for committing crimes in Payneless County and Gotham City had in their possession handguns they had illegally purchased in the downtown business district. Use of handguns has also been prevalent in instances of reported crime in the metropolitan area, e.g. 61.2% of the homicides, 49% of the rapes, and 68.59% of the robberies involved handguns. It cannot be determined what percentage of these offenses were committed using illegally purchased handguns.

E. Strategy Assessment

(To be completed by work groups)

# Proposed Element 4.1

- A. STRATEGIC GOAL: Enact handgun ordinances to restrict the sale of handguns.
- B. INTERIM STRATEGY: Pass a local ordinance requiring a check of police records to determine if a potential purchaser of a handgun has a criminal record.
- C. PROPOSED ELEMENT: Pass a local ordinance requiring a check of police records to determine if a potential purchaser of a handgun has a criminal record.
- D. OBJECTIVE TO BE ACHIEVED: By June 30, 1981, reduce to zero the number of crimes committed by probationers, parolees, and other ex-offenders in the downtown business district involving handguns illegally purchased after passage of the ordinance.
- E. COST: Requires no direct LEAA funding.  
Assumption Cost: Cannot be immediately determined; can probably be absorbed by existing Gotham City P.D. resources.
- F. RATIONALE FOR ELEMENT: During 1978, over 80% of the recidivists arrested for committing crimes in Payneless County and Gotham City had in their possession handguns they had illegally purchased in the downtown business district. Use of handguns has also been prevalent in instances of reported crime in the metropolitan area, e.g. 61.2% of the homicides, 49% of the rapes, and 68.59% of the robberies involved handguns. It cannot be determined what percentage of these offenses were committed using illegally purchased handguns.
- G. ADVANTAGES: The ordinance would greatly increase the difficulty for an ex-offender to illegally purchase a handgun. It would also provide a "cooling off" period for an individual who might be buying a handgun to commit "an act of passion" such as the murder of one estranged spouse by the other spouse. The cost would also be relatively low.

# Proposed Element

## H. DISADVANTAGES:

Handgun legislation is very politically controversial. The Mayor of Gotham City has vigorously opposed such legislation in the past, as have several prominent members of the Advisory Board. The District Attorney favors the approach suggested here as a safeguard measure, however, and has indicated she would support the ordinance.

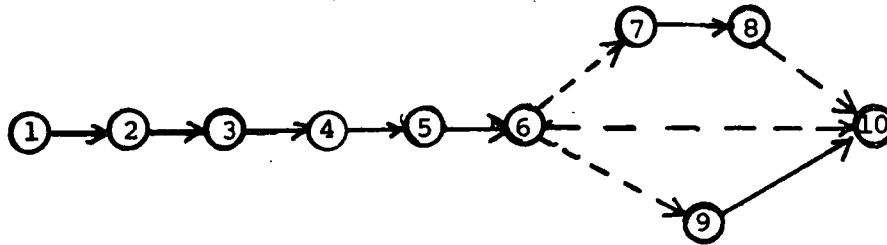
# MOR

- A. PROPOSED ELEMENT: Pass a local Handgun Ordinance
- B. INPUTS:
1. Local handgun ordinance
  2. NCIC responses provided by existing Gotham City P.D. personnel
  3. Procedures for merchants to use in selling handguns
- C. MAJOR ACTIVITIES:
1. Draft proposed ordinance.
  2. Present ordinance to City Council.
  3. Pass ordinance.
  4. Develop a procedure for handgun merchants to use in cooperation with the Gotham City Police.
  5. Using NCIC records, respond to requests from local merchants concerning criminal record of individuals seeking to purchase handguns.
- D. IMMEDIATE RESULTS:
- By June 30, 1981, reduce to zero the number of crimes committed in the downtown business district involving handguns purchased illegally (after passage of the ordinance) by probationers, parolees, and other ex-offenders.
- E. OUTCOMES:
- Enact handgun ordinance to restrict the sale of handguns.



# Network

PROJECT: Pass a Local Handgun Ordinance



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## ACTIVITIES

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- |  |   |
|--|---|
| 1. Draft proposed legislation.   | 8. Complete training course.                                      |
| 2. Endorsement of proposal by Advisory Board.                              | 9. Provide merchants with instructions on implementing ordinance. |
| 3. Present proposal to City Council.                                       | 10. Begin implementation.   |
| 4. Council approves ordinance.   |   |
| 5. Develop proposed procedures to implement ordinance.                     |   |
| 6. Adopt procedures.   |   |
| 7. Begin training course for P.D. officials who will implement procedures. |   |
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Key: ○ Activity

----- Relationship

————→ Sequence of Activities

## Preferred Strategy Decision Package #5

### Part I

A. Normative Goal: To reduce crime in the Downtown Business District of Gotham City.

B. Problem Summary: In the five-year period from 1973-78, the increase in index crimes in this area was 46.5%, an alarming rise and a full 20% greater than the city-wide increase of 26.29%. The crime problem in this area appears to be having a devastating impact on both the businesses in the downtown area and many of the people who are compelled to shop here.

C. Problem Components

Based on an assessment of the Problem Statement for the Downtown Business District, the following appear to be the important components of this problem:

1. Juveniles engaging in criminal behavior
2. Vulnerability of potential "targets" of crime
3. Inadequate crime deterrent and response capability by criminal justice agencies dealing with the downtown business district
4. Ready availability of handguns to potential offenders

D. Alternative Strategic Goals

1. Reduce juvenile criminality in the Downtown Business District
2. Improve juvenile justice apprehension and treatment capacities
3. Upgrade crime deterrent and response capability of criminal justice agencies dealing with crime in the Downtown Business District.
4. Enact handgun ordinances to restrict the sale of handguns.
5. "Harden" potential crime targets in the Downtown Business District

### Part II

A. Proposed Strategic Goal

"Harden" potential crime targets in the Downtown Business District.

B. Strategy Statement

Improve the capability of citizens in the Downtown Business District to conduct their own crime prevention activities.

C. Potential Strategy Elements

1. Create a Crime Prevention Unit in the Gotham City Police Department to assist Downtown merchants in target-hardening.

2. Create a senior citizens' escort program in the Gotham City Downtown Business District staffed by trained volunteers to help deter the victimization of the elderly in this area.

D. Strategy Rationale

Implementation of the above elements will greatly enhance the ability of Downtown merchants and the elderly to assist in deterring crime in the Downtown Business District.

E. STRATEGY ASSESSMENT

(To be completed by workgroups)

# Proposed Element 51

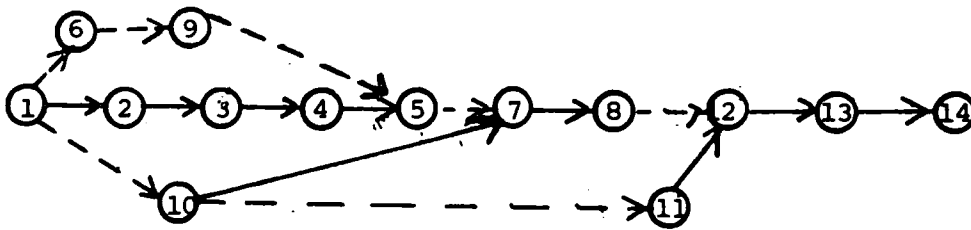
- A. STRATEGIC GOAL: "Harden" potential crime targets in the Downtown Business District.
- B. INTERIM STRATEGY: Improve capability of citizens in the Downtown Business District to conduct their own crime prevention activities.
- C. PROPOSED ELEMENT: Create a Crime Prevention Unit in the Gotham City Police Department to assist downtown merchants in target-hardening.
- D. OBJECTIVE TO BE ACHIEVED: By June 30, 1981, the value of theft losses (corrected for inflation) for the merchants participating in the CPU project will be reduced by 75% compared to their losses for fiscal year 1980.
- E. COST: \$21,500  
Assumption Cost: \$42,500 per annum
- F. RATIONALE FOR ELEMENT: The merchants in the downtown business district have engaged in few target-hardening activities to date. Their businesses are vulnerable, and the theft rate reflects this. A systematic crime prevention program could reduce this vulnerability.
- G. ADVANTAGES: This strategy would enable the merchants to help themselves to a degree. Based on relevant studies, target-hardening is a cost-effective method to curb the types of crime plaguing the downtown business district.
- H. DISADVANTAGES: The Chief really isn't completely sold on the crime prevention concept. He expressed the opinion that a lot of the claims about crime prevention appear to be public relations gimmicks. He would be willing, however, to try such an approach if the Planning Agency funded it.

# MOR

- A. PROPOSED ELEMENT: Establish a Crime Prevention Unit (CPU) in the downtown business district.
- B. INPUTS:
1. CPU director (from existing Gotham City personnel)
  2. Three law enforcement officers
  3. Crime prevention "train-the-trainers" course
  4. Car and equipment
  5. Audio-visual and demonstration materials
- C. MAJOR ACTIVITIES:
1. Recruit and train three crime prevention unit officers.
  2. Procure car and equipment.
  3. Purchase required audio-visual and other related supplies and equipment.
  4. Conduct public seminars for downtown merchants.
  5. Provide direct target-hardening technical assistance to downtown merchants.
- D. IMMEDIATE RESULTS: During fiscal year 1981, the value of losses (corrected for inflation) for the merchants participating in the CPU project will be reduced by 75% compared to their losses for fiscal year 1980.
- E. OUTCOMES: "Harden" potential crime targets in the Downtown Business District.

# Network

PROJECT: Establish Crime Prevention Unit in Gotham City Police Department



## ACTIVITIES

- |   |   |
|---|---|
| 1. Appoint director of CPU.                     | 10. Purchase audio-visual and other related supplies and equipment.         |
| 2. Announce officer openings.                   | 11. Schedule seminars.  |
| 3. Screen applicants.                           | 12. Conduct seminars.   |
| 4. Interview selected applicants.               | 13. Provide target-hardening technical assistance to 12 downtown merchants. |
| 5. Select new officer.                          | 14. Complete target-hardening technical assistance.                         |
| 6. Select appropriate training course.          |   |
| 7. Enroll officers in selected training course. |   |
| 8. Complete training course.                    |   |
| 9. Procure car and equipment.                   |   |

Key: ○ Activity  
 ----- Relationship  
 —————> Sequence of Activities

# Proposed Element 5.2

- A. STRATEGIC GOAL: "Harden" potential crime targets in the downtown business district.
- B. INTERIM STRATEGY: Improve the capability of citizens in the Downtown Business District to conduct their own crime prevention activities.
- C. PROPOSED ELEMENT: Create a senior citizens escort program within the business district staffed by trained community volunteers to help deter the victimization of the elderly in that area.
- D. OBJECTIVE TO BE ACHIEVED: During fiscal year 1981, reduce by 25% the number of senior citizens victimized in the downtown business district compared to the number victimized in 1980.
- E. COST: \$17,500  
Assumption cost: \$15,000 per annum
- F. RATIONALE FOR ELEMENT: A disproportionate number of senior citizens have been victimized by criminals in the downtown business district. It is believed that this is happening because would-be criminals perceive the elderly to be more vulnerable and "easy prey" for an attack. By enlisting the aid of trained volunteers who meet certain qualifications to escort the elderly, any perception of their vulnerability would be duly erased.
- G. ADVANTAGES: This strategy would provide visible protection for the elderly as they go about their daily chores in the downtown area. It would also provide a certain amount of companionship for these senior citizens. Finally, at very little taxpayer expense, it would provide a vehicle for community involvement in the "war against crime" in the downtown district.
- H. DISADVANTAGES: This plan would be almost totally dependent on the goodwill of the individual local citizens and citizens' groups. It is often difficult to recruit and keep volunteers for a program such as this.

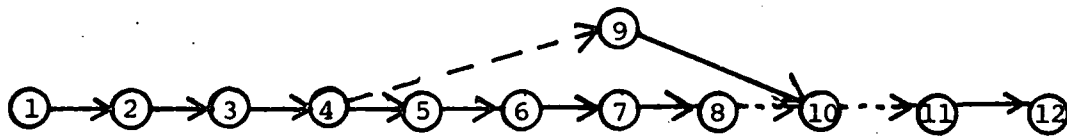
# M O R

- A. PROPOSED ELEMENT: Create a Senior Citizens' Downtown Escort Service.
- B. INPUTS:
1. New law enforcement "escort officer"
  2. Volunteer escorts
- C. MAJOR ACTIVITIES:
1. Recruit, interview and hire new "escort officer."
  2. Train escort officer.
  3. Develop escort training program.
  4. Recruit volunteer escorts.
  5. Train volunteer escorts.
  6. Begin escort service.
- D. IMMEDIATE RESULTS: During fiscal year 1981, reduce by 25% the number of senior citizens victimized in the downtown business district compared to the number victimized in 1980.
- E. OUTCOMES: "Harden" potential crime targets in the downtown business district.



# Network

PROJECT: Create a Senior Citizens' Downtown Escort Service.



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## ACTIVITIES

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- |                                     |   |
|-------------------------------------|---|
| 1. Start.                           | 9. Develop training program for escorts.        |
| 2. Announce Director vacancy.       | 10. Conduct training program.                   |
| 3. Screen applicants.               | 11. Publicize procedures for utilizing escorts. |
| 4. Select Director.                 | 12. Begin escort service.                       |
| 5. Develop escort recruitment plan. |   |
| 6. Begin recruitment effort.        |   |
| 7. Screen applicants.               |   |
| 8. Select escorts.                  |   |
- 

Key: ○ Activity  
----- Relationship  
————→ Sequence of Activities



## EPISODE FIVE: DE-BRIEFING NOTES

The primary objective of this segment of the Case Study is to have the workgroups apply the various decision-making criteria discussed for strategies and elements. The highly subjective nature of many of these criteria makes it extremely difficult to have a de-briefing as a whole group. Instead, it is recommended that the de-briefing occur in each of the workgroups where it will be more feasible to form common assumptions about the application of the criteria, e.g., what weight will be given to effectiveness, practicality, etc.

The deliberations should occur in two phases:

1. First, the elements should be considered. Conclusions concerning the efficacy of the different elements will vary depending on backgrounds, prejudices, etc. of the participants. However, the facilities should ensure that the following points are addressed.

- a. 1980 is an election year. Two of the elements -- handgun control and dusk-to-dawn curfew -- are extremely controversial. Is it practical and acceptable to pursue both, or even one, of these alternatives? If the gun control measure is abandoned, what are the implications for the corresponding Strategy and Strategic Goal?

- b. Each group should address the varying criteria of acceptability concerning an increased presence of law enforcement officers in the downtown business district. The Chief favors an expensive new precinct in this area; the merchants don't want the new precinct. The work groups should address how their elements can be "packaged" to gain the greatest level of acceptance from both the Chief and the merchants.

- c. Several potential alternative elements -- e.g., the Police Athletic League, the local ordinances, and so on -- require limited or no direct funding from the Planning Agency. The role the Planning Agency would play in the implementation of such elements would therefore be markedly different from the normal relationships based on conventional funding. The work groups should at least address this issue in discussing the potential effectiveness of such programmatic options.

d. The converse of c. should also be addressed. Specifically, those elements requiring low levels of funding usually involve activities that result in a concerted effort by some element of the community, e.g., the volunteer police in PAL, the citizen volunteers in the escort service, the proponents of the gun control ordinance, etc. Such quasi-independent activities can potentially result in increased acceptability of such elements, and the work groups selecting such elements should incorporate this point in their rationale for selection.

e. Several elements (e.g., PAL) would be difficult to evaluate.

f. The cost effectiveness and acceptability of the "storefront precinct office" should preclude its selection as an element.

g. The cost effectiveness and projected effectiveness of the Crime Prevention Unit should insure its selection as an element.

h. The remaining program components can vary depending on the ability of the work groups to justify them using the decision criteria.

2. Second, utilizing the elements selected in Step 1, the participants should assess the strategies using the criteria delineated in paragraph VI A., Module Two. The facilitator should remind the participants of Williams' cover memo to Voyles expressing regret that Voyles was not involved in the process of assessing Interim Strategies. Obviously, several of the strategies have weaknesses that should have been addressed prior to the development of discussion packages for the elements. For example, the strategy dealing with the apprehension and treatment of juveniles does not address the role of the courts in the process, the handgun strategy should probably have been eliminated long before consideration as an element, and the range of strategies for target hardening is much too narrow -- e.g., options such as media campaigns are ignored. Point out how these omissions underline the need for careful examination of the Interim Strategy Decision Packages before development of elements begins.

In the event that participants assert that one or more of the proposed strategies lack sufficient information on which to base a selection decision,

then the facilitator should require the participants to:

- o Identify the type of information that is lacking, and
- o State how that information is pertinent to the decision making process.

A key summation question is this: Given the diverse range of programmatic alternatives presented, can the manager of the Downtown Business District Program be effective if that manager is limited to the role we have previously described as that of the program manager? Obviously not, and the participants should be asked to point out potential examples of how other roles could be required: leader in the criminal justice system in advocating passage of one or both ordinances, leader in working with the Downtown Merchants' Association, director of an organizational unit in redirecting the resources of the criminal justice agency to address the single problem of crime in the downtown business district, etc.

After the participants have been re-assembled, the instructor should point out that the issues faced in assessing strategic elements and strategies are often complex. The decision to move ahead to implement strategies and elements is often the stage at which life becomes somewhat controversial for the criminal justice administrator. Often, Normative and Strategic Goals appeal to a broad range of people and groups. However, the means to achieve the ends described in those Goals do not always meet with universal acceptance. For example, in the Case Study, a decision to move ahead on some of the elements, especially handgun and dusk-to-dawn ordinances, is almost sure to produce conflicts in which Voyles would be embroiled. But change of almost any kind usually produces some level of conflict, and the criminal justice administrator must have a clear understanding of the potential impact(s) of change and conflict on his or her endeavors. The criminal justice administrator must also have a clear understanding of how to "manage" change and conflict so that these factors do not negate opportunities for success in performing important functions in the three role areas. These topics -- change and conflict -- will be addressed in the next segment of this module.

## LECTURE NOTES

### VII. APPROACHES TO CREATING CHANGE

The criminal justice administrator can adopt one of many approaches in promoting change within the criminal justice system. This part of Module Two examines five basic approaches identified by Jay Hall in his work, The Change Agent Questionnaire.

#### Key Points and Comments

Point out to participants that they completed a copy of the Change Agent Questionnaire that was sent out in the pre-mailing. They may wish to refer to this during the following discussion. The instructor should emphasize that the styles that are indicated for them personally may or may not always be true. These styles should be viewed as insights and guides, not as rigid and unchanging. The Change Agent Questionnaire has been validated on numerous populations of managers.

## LECTURE NOTES

### A. Classification of Approaches to Creating Change

#### 1. Concern for Adherence

The conceptual framework for classifying approaches to creating change is based on two axes (see Visual 2-7). The horizontal axis is called "Concern for Adherence" and indicates the degree to which the manager or leader is concerned with the conformity of subordinates, followers, or others who are the objects of the types of changes the manager is trying to promote.

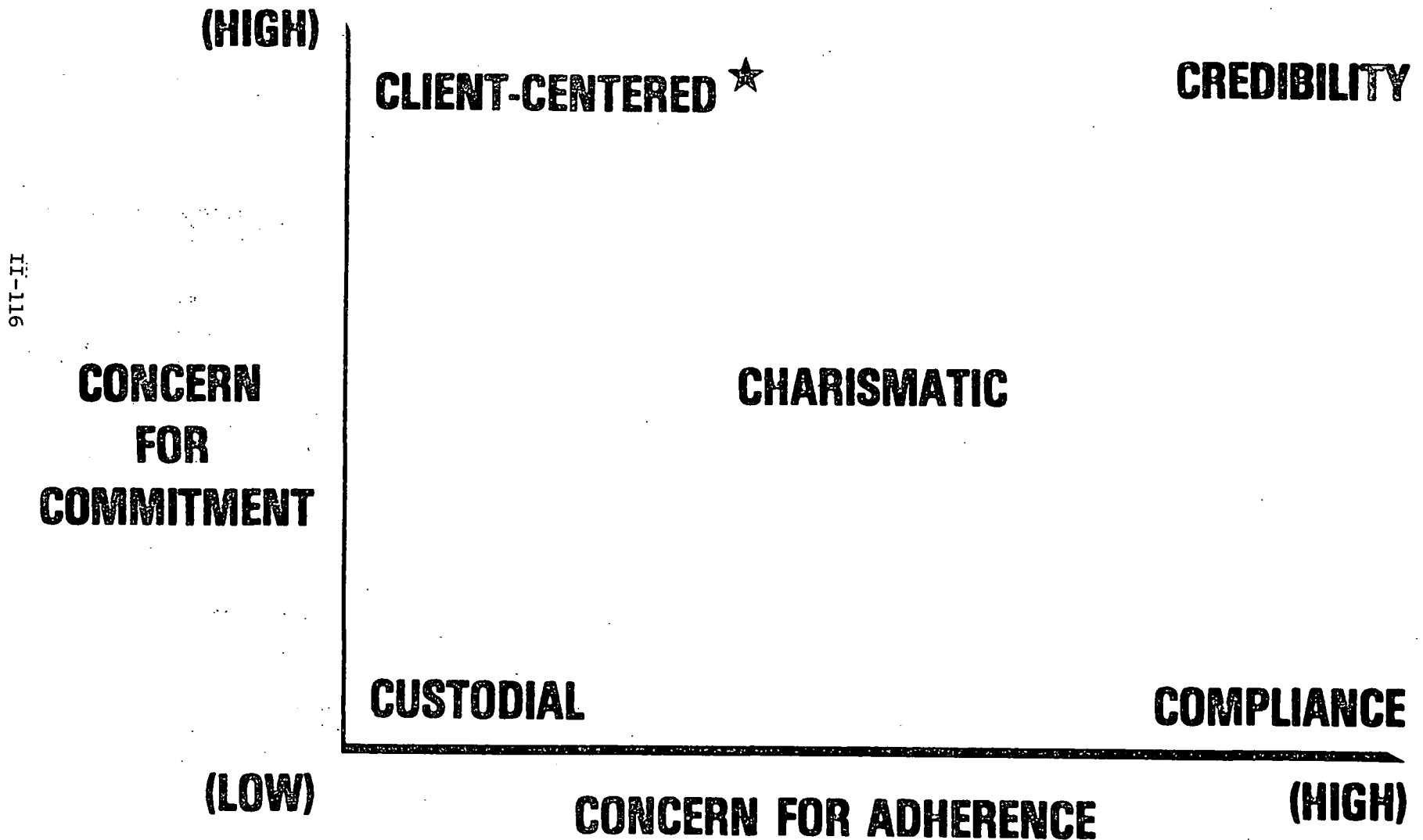
#### 2. Concern for Commitment

The vertical axis, "Concern for Commitment," indicates the degree to which the manager or leader is concerned with the commitment of subordinates, followers, or others who are the objects of the types of change the manager is trying to promote. As indicated in Visual 2-7, these two axes help to classify five distinct "styles" that can be adopted by a change agent.

### Key Points and Comments

Use 1. and 2. to refer to the axes shown in Visual 2-7. The instructor should indicate to participants that this segment of the lecture will merely provide them with insights into their own approach to change and help them define various approaches a criminal justice administrator might adopt to address certain changes at any given time. This discussion in no way is meant to stereotype people and their approach to change, but merely provide insights into options available for dealing with change.

# CHANGE AGENT STYLES



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



## LECTURE NOTES

Key Points and Comments
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### B. Change Agent "Styles"

#### 1. Change through Compliance

This style reflects the maximum concern of the administrator for adherence to the type(s) of change the administrator desires and the little or no concern the administrator has for the commitment of subordinates to the change. Change through compliance is reliant upon a formal and well-defined power structure that provides the administrator rewards and punishments to gain the desired adherence to change. A criminal justice administrator using this style would rely heavily on well-defined instructions detailing personal desires, and would probably also closely check to insure that the instructions were followed. This style reflects the attitude that individuals generally oppose change and have to be coerced to a degree to implement change.

#### 2. Client-Centered Change

This style is basically opposite Change through Compliance. In Client-Centered Change the administrator attempts to create an environment in which subordinates can identify and make the needed changes themselves. The administrator is less dogmatic about the particular type of change desired and has sufficient trust and respect for subordinates to believe that their commitment to change will yield the most desired change.

#### 3. Custodial Change

Custodial Change, from an administrator's point of view, is really a negative approach to change. In this approach, the administrator remains basically passive, not advocating any specific types

## LECTURE NOTES

Key Points and Comments
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of change nor encouraging subordinates to explore avenues of change to improve effectiveness. If subordinates push for a change, the administrator might reluctantly go along, but much prefers to cling to the status quo.

#### 4. Charismatic Change

This type of change is heavily dependent upon the positive reputation the administrator has established with any particular group. The administrator works hard at implementing the desired change, and at the same time seeks to "sell" subordinates on the approach being taken. If they have confidence in the administrator, this style works well.

#### 5. Change Through Credibility

This approach to change is based on the assumption that successful change occurs when subordinates accept the need for change and agree upon the approach adopted to achieve the needed change. In this approach the administrator has two main tasks:

- (1) establish credibility for the need for change; and
- (2) insure that a plan is developed for effectively implementing the desired change.

The change is based on clear-cut objectives which subordinates help to establish, and in so doing both adherence and commitment to change are achieved.

## LECTURE NOTES

Key Points and Comments
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### VIII. CONFLICT RESOLUTION

#### A. Need for Conflict Resolution Techniques

1. Although change through credibility may be the optimal stance for an administrator to take under most circumstances, it is not always the approach adopted. The use of the other four approaches to change heightens the possibility that a conflict might arise as an administrator institutes the desired change. Change is certainly not the only cause of conflict, but it is an important one. Other types of conflict that are often found in a criminal justice environment follow.

##### a. Central Office vs. Field

In many criminal justice agencies, the central office often is perceived as too "ivory tower" by the field people, whereas the field people are accused of "missing the big picture" by those in the central office.

##### b. Staff vs. Line

A variation of the above conflict is that between staff specialists (often hired under LEAA grants) and line managers. The role of the staff specialist is often to either install new methods or to evaluate the performance of line personnel. Both aspects of staff work have built-in potential for conflict with line managers.

##### c. "Old Guard" vs. "Young Turks"

The old guard often sees itself in a defensive battle to preserve its cherished values and historical track record. Young turks are often seen as "young men in a hurry", "people who are out to make us old timers look bad", and "technical specialists, full of book learning who have little

## LECTURE NOTES

Key Points and Comments
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respect for real world problems."

d. Union vs. Management

The fastest growing unions today are in the public sector and often employees have one set of goals as union members and another set of goals as members of an organizational unit.

2. According to a recent survey\* of American Management Association Executives conducted by Schmidt and Thomas, managers spend about 20% of their time dealing with some type of conflict.

3. Criminal justice administrators, regardless of which of the three roles they are playing, can be involved in any of the above types of conflict from one of two perspectives.

a. Personally

A criminal justice administrator is often personally embroiled in conflict.

b. As a Director of an Organizational Unit

Several of an administrator's subordinates may be embroiled in a conflict and it will be up to the administrator to do something about that conflict.

4. We will be discussing how a criminal justice administrator copes with conflict both as an immediate actor and as a manager of individuals involved in the conflict.

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\* Schmidt, W.H. "Conflict: A Powerful Process for Change," Management Review, 1974.

## LECTURE NOTES

Key Points and Comments
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### B. Conflict Diagnosis

Regardless of whether or not an administrator is personally involved in a conflict situation or supervising employees that are in conflict, the administrator must first diagnose the conflict at hand. In other words, the administrator must determine as objectively as possible:

- the current stage of the conflict,
- what is the nature of the conflict, and
- what factors underlie the conflict.

In other words, an individual must first understand the conflict before that conflict can be resolved.

#### 1. Four Key Elements or Stages in a Conflict Episode

In order to diagnose a conflict, we must first know in what stage it is. Each conflict episode involves four key, sequential elements.

##### a. Frustration

Frustration occurs when someone or something is blocking one from attaining any goal. The source and/or reason for the frustration may be well or ill defined at this stage in the conflict hierarchy. Nevertheless, the actor(s) feel frustrated about not getting what they want. For example, as the director of a halfway house project, an administrator may be attempting to place a halfway house in a certain neighborhood. The project is not getting off the ground as quickly as the administrator would like and, consequently, the administrator is feeling frustrated. The administrator has not as yet pinpointed the source or even the specific cause of his frustration.

## LECTURE NOTES

Key Points and Comments
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### b. Conceptualization

When one passes into this stage, one answers the question, "what's the problem, what's at stake". At this point, an individual defines and clarifies the nature and scope of the problem that was causing the earlier frustration. In the case of the halfway house manager, this stage might involve the realization that the neighborhood association is blocking the director's efforts and that this association is a very strong political force in the city. This stage may be reached instantaneously or as a result of a great deal of thought and deliberation.

### c. Behavior

This stage is the action stage and is a direct result of the conceptualization stage, although once behavior and reaction have occurred they can influence conceptualization and also heighten (or lessen) feelings of frustration. Our halfway house director may embark on this stage by attending and addressing a meeting of the neighborhood association.

### d. Outcome

Ultimately, most conflicts are somehow resolved. There are 3 basic ways to assess the outcome of any conflict:

(1) Quality of the decision - how creative, practical is it? Maybe a decision to place a halfway house right on the fringe of the neighborhood will still give the halfway house residents access to the same local facilities without upsetting the neighborhood association too much.

(2) Condition of the conflicting parties - what psychological and/or physical impact did the

## LECTURE NOTES

### Key Points and Comments

conflict have on those involved? Is our halfway house director so drained from the neighborhood conflict as to obviate her effectiveness as the director of the halfway house?

(3) Quality of the relationship between the rival parties - what levels of respect, understanding, and/or cooperation have the individuals involved maintained? Will the halfway house director be able to call on members of the neighborhood to work as volunteers in the halfway house, or is there so much bitterness as a result of the conflict that cooperation ever again is unlikely?

#### 2. Basic Issues

If the above four stages define the sequence of how a conflict evolves, what are the basic issues that are usually at stake when two groups are involved in a conflict situation? There is usually one of four basic issues at stake. The disagreement is generally over facts, goals, methods, or values.

##### a. Facts - The Present Situation or Problem

A disagreement could develop because people have different definitions of a problem, are cognizant of different pieces of information, believe or disbelieve different information, etc.

##### b. Methods - The Best Way to Achieve our Goals

Disagreements can arise over procedures, strategies, or tactics to achieve goals.

##### c. Goals - How We Would Like Things to Be

Disagreements also arise over what we want to do, our long range objectives or desires.

*The Instructor should ask participants what the basic issues are in the conflicts between Parfitt and the Mayor (probably values, and since their values differ, their goal and methods reflect that difference).*

## LECTURE NOTES

### d. Values - Qualities and Long-Term Situations We Support

Finally, disagreements can be over ethics, moral considerations, whether the ends justify the means, etc.

In general, disagreements over facts are easiest to resolve, and disagreements over values are the most difficult to resolve. Nevertheless, it is very important that actors in a dispute understand or attempt to clarify what it actually is that they disagree about. Often a disagreement can go on for a long and damaging period of time, only for the two parties involved to discover that they feel basically the same way and just were not transmitting the information to one another clearly enough.

### 3. Underlying Factors

The final step in conflict diagnosis is to determine the factors underlying the differences. In other words, why are we having the conflict, is the source informational, perceptual, or due to the actor's role(s)?

a. Informational Factors - Do the actors have access to the same information or do they have access to different information and thus have they drawn different conclusions? The ancient legend about 6 blind men feeling different parts of an elephant's body and concluding that they were touching 6 different animals is a case in point.

b. Perceptual Factors - Do the actors perceive the common information differently? Each actor brings to any situation a unique set of past experiences, "filters" through which new information must pass.

### Key Points and Comments

*The Instructor should ask participants what the basic issues are in the conflicts between Parfitt and the Mayor (probably values, and since their values differ, their goals and methods reflect that difference).*



## LECTURE NOTES

Key Points and Comments
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These "filters" naturally affect and alter the way different people interpret different pieces of information. The same set of facts can yield entirely different perceptual pictures.

c. Role Factors - The influence of an actor's role in the organization on that actor's feelings regarding the conflict. Each actor has a specific role in an agency or organization and that role will influence how a problem or conflict is perceived.

#### 4. Merits of Conflict Diagnosis

In any decision-making process it is important to define the parameters in which you are working. Later in the course, when we discuss planning, we will begin that discussion by explaining the importance of understanding our environmental constraints or parameters before we begin the actual planning process. The same thing is true with conflict resolution. If we understand at what stage of the conflict we are, what the conflict is about, and why the conflict arose, we are better able to deal with the true conflict and avoid petty, personal "attacks" at each other that can only be destructive. This diagnostic process can help an individual clarify the conflict, clarify his or her own thoughts, and clarify and understand the position of the "opposing party." For example:

a. If the parties realize they have two different sets of data, they can mutually educate one another regarding unknown information.

b. If the parties realize their data is the same but their perceptions are different, they can explore why they perceive the same information differently.

## LECTURE NOTES

c. If the parties realize their roles are clouding their agreement, they can try to place themselves in each other's roles and see the problems accordingly.

In each case, there is much to be learned from the diagnostic process.

### C. Five Ways to Handle Conflict

Sometimes after a conflict is diagnosed, there is still a vast disagreement. We are sure that the actors have a conflict. At this point, according to Dr. Thomas, the actors can act in one of five ways, by bringing some degree of assertiveness (trying to satisfy own interests) and cooperativeness (trying to accommodate the other parties' interests) to the conflict situation. By displaying varying levels of each of these traits, an individual can act in one of five ways in a conflict situation.

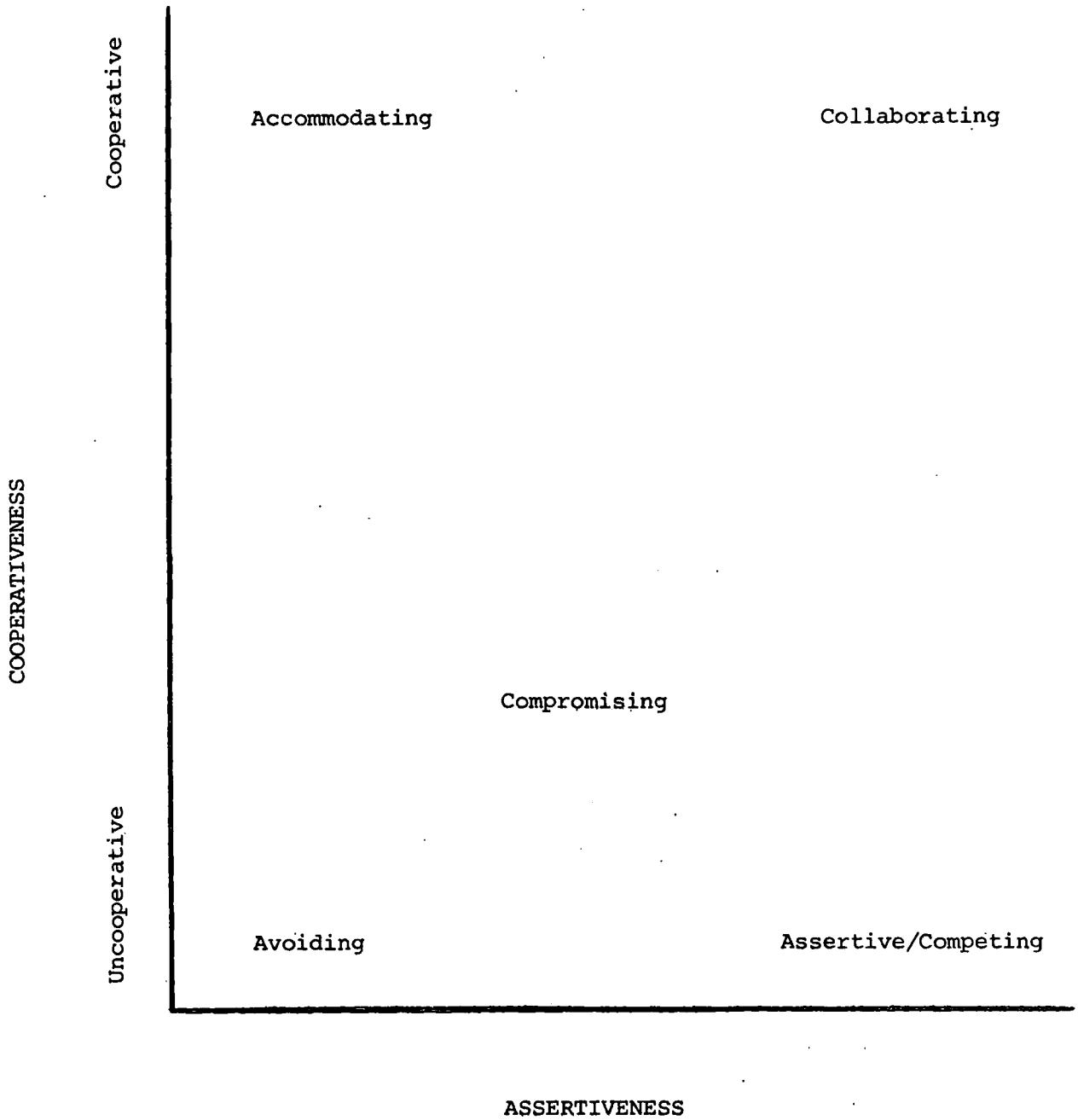
#### 1. Assertive/Competing

When individuals assume this mode they go all out to win at the other person's expense. Individuals who choose this mode must be very clear on what they want, why it is important, and how they plan to "win." In an organizational setting, the success of this mode usually depends on having a well-defined structure. Often an individual "wins" by pulling rank or reverting to some well-defined organizational policies and procedures. This may be the most adaptive mode to assume when the stakes in a particular conflict are very high and a quick decision has to be made. At times like this, simply playing to win and winning quickly may be the only way to go. Managers who

### Key Points and Comments

*Refer participants  
to the chart  
entitled  
"Ways of Handling  
Conflict"  
(Exhibit 2-12)*

WAYS OF HANDLING CONFLICT



## LECTURE NOTES

Key Points and Comments
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choose this mode can simply assert authority and decide the issue. When a lot is at stake and little time is available, e.g., in a military or law enforcement situation, this may be the best alternative.

### 2. Accommodating

Individuals choosing this mode neglect their concerns in lieu of the wishes of the other party(s). It is basically opposite to the "competing" mode. The relationship is more important than the particular contest to individuals who choose the accommodating mode. This may be the most adaptive mode to assume when the relationship at stake is indeed more important than the particular conflict in question.

A manager in this position stresses the importance of the relationship between the actors, creates a climate conducive for the actors to discuss the problem, and leaves them alone. This stance may be adaptive when the relationship between the parties is very important and when the parties involved are highly self-motivated individuals who dislike external intervention and are capable of resolving the conflict alone.

### 3. Avoidance

Individuals who choose this mode remain basically passive. They have decided not to "decide" or enter into a conflict; they simply ignore or do not allow the conflict to surface. This is not always necessarily a negative position. If the particular conflict could prove too costly because the issue(s) are of little importance or the

timing is wrong, this may be the most adaptive approach to assume. Likewise, the manager choosing this stance simply ignores the problem. When the potential fallout from a full blown problem may be more detrimental to the organization than not resolving the conflict, this stance may be appropriate. There is a real danger here, though. Much has been written about "hidden agendas." People may discuss one thing, but really be concerned with something else, and a seemingly innocuous discussion can lead to a loud disagreement when the actions have "hidden agendas" or hidden frustrations that they have not been able to air otherwise. If an administrator chooses to avoid a conflict he or she should allow the relevant subordinates to "blow off steam" in some way.

#### 4. Compromising

Compromising means settling for less than the desired ends. When a compromise situation is reached, it is often achieved because one of the actors involved has used his or her personal powers of persuasion to get the parties to agree to something in between what they had originally wanted. This may be a highly adaptive approach when limited funds are available to support a number of projects or when some type of "sharing" makes sense.

A manager choosing this position simply divides up the pie as well as possible, giving each relevant party something, but nobody gets everything he/she wants. It happens that time and resources can make it impossible to do anything other than divide up the pie.

## LECTURE NOTES

Key Points and Comments
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### 5. Collaborating

Using this mode is based on the assumption that the conflict can be most successfully resolved by a mutual decision-making process involving all the relevant parties. Each actor recognizes the goals of the other and they work together to achieve a mutually agreeable solution. Collaborating does not involve "dividing the pie" as does compromising, but rather creatively enlarging or rearranging the pie so as to maximize everyone's desires. An example of compromise pertaining to a competing set of juvenile and law enforcement programs might be to simply fund one of each rather than all programs to meet all of the goals desired by each. An example of collaborating might be discovering a way to reach all of the goals of both sets of programs and still spend the same amount of money. Perhaps the law enforcement people want more officers and the juvenile group wants better pre-trial diversion. A collaborating session might come up with the solution to add juvenile officers to the police force who would handle pre-trial diversion among other things. This mode is obviously the most beneficial to all parties concerned, and when time and circumstances allow, it should be chosen. However, it is not always practical or possible to choose the collaborating role. A manager can facilitate this type of creative decision-making discussed earlier. There are several things a manager can do to foster the "collaborating" conflict resolution mode:

- The manager can welcome the existence of differences in an organization by stressing that discussions of differences give rise to a healthy

## LECTURE NOTES

Key Points and Comments
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variety of solutions to a problem and more thoroughly test the proposed methods. The manager can stress that everyone shares in the solution through this type of discussion, and thus there is really a "win-win" situation instead of a "win-lose" situation.

- The manager can listen with understanding instead of evaluation. Conflicts are often prolonged because the involved parties do not always listen to one another. Much has been said and written in the behavioral science literature about "active listening." What this involves is listening nonevaluatively to what the other person is saying, and then rephrasing and repeating back what the person just said before proceeding with what you have to say. Active listening accomplishes three things:

- helps the listener really absorb what is being said;
- helps the speaker clarify what he or she said after hearing the listener rephrase it; and
- makes the listener feel good, because he or she was really heard.

In the context of problem solving, the manager can use this technique both to help the parties clarify the issues and as a model to try to get the conflicting parties to "actually listen" to one another.

- The manager can recognize and accept the feelings of the individuals involved. Often during a conflict, those involved feel various levels of fear, anger, anxiety, jealousy, etc. No good is served by ignoring or repressing those emotions, rather they

## LECTURE NOTES

Key Points and Comments
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tend to surface as "hidden agendas" sometime later. A manager needs to be aware of the feelings that are present, and be willing to discuss them openly either in the conflict-solving group or in private with the relevant individual. The nature and manner of conducting such a discussion will naturally depend on the circumstances and individuals involved.

- The manager can indicate the organizational parameters surrounding this particular problem. Other discussion will go on about who has the authority to make a decision, what procedures should be taken for implementing a certain idea, etc. A number of issues that are already clearly governed by company policy can be cleared up by the manager so that they do not cause unnecessary problems.

- The manager can suggest procedures and ground rules for solving the problem. If the problem is over facts, the manager can suggest ways to help the disputants validate their facts.

If the problem is over methods, the manager can remind the disputants that their goals are the same and help them generate alternative methods and criteria for judging those methods.

If the problem is over goals, the manager can help the parties truly clarify their respective goals and more clearly state them. Often this process will eliminate the problem. If it does not, the goals will be much easier to deal with once they are clearly and succinctly stated.

If the problem is over values, the manager can help the individuals clarify and more clearly state their values. As with goals, this often eliminates



the problem; if it does not, a well defined value is much easier to discuss than an abstract feeling. Discussions of values can be tricky because values values are often inextricably linked to a person's self image. A manager must strive to take the discussion away from a personal level to one of clearly defined issues. This is not easy, but should be attempted as much as possible.

- The manager can give primary attention to maintaining relationships between disputing parties.

Relationships often get lost in the heat of arguments over issues. The manager should be aware of this and check to see that it is minimized.

- The manager can create appropriate vehicles for communication among disputing parties. The longer a dispute boils without a resolution process begun, the harder it is to resolve. A manager should be aware of this and help get the disputants together in a constructive atmosphere.

- Finally, the manager can suggest procedures that facilitate problem solving.

The manager can outline an orderly set of procedures (examine alternative, gather relevant data, set criteria, etc.) for solving the problem and those separating the person from the problem.

#### 6. Managerial Objectivity

One final thing that is vitally important for a manager to maintain when a conflict arises between subordinates is objectivity. The manager must be aware of his or her own feelings regarding the issues

## LECTURE NOTES

### Key Points and Comments

at stake and the disputants and attempt not to allow these feelings to cloud that manager's role as a facilitator.

#### 7. Conclusion

There are three basic issues a manager needs to consider in facilitating the resolution of a conflict between disputing subordinates:

- Diagnosing the Problem
- Choosing an Approach for Dealing with the Problem
- Maintaining Managerial Objectivity

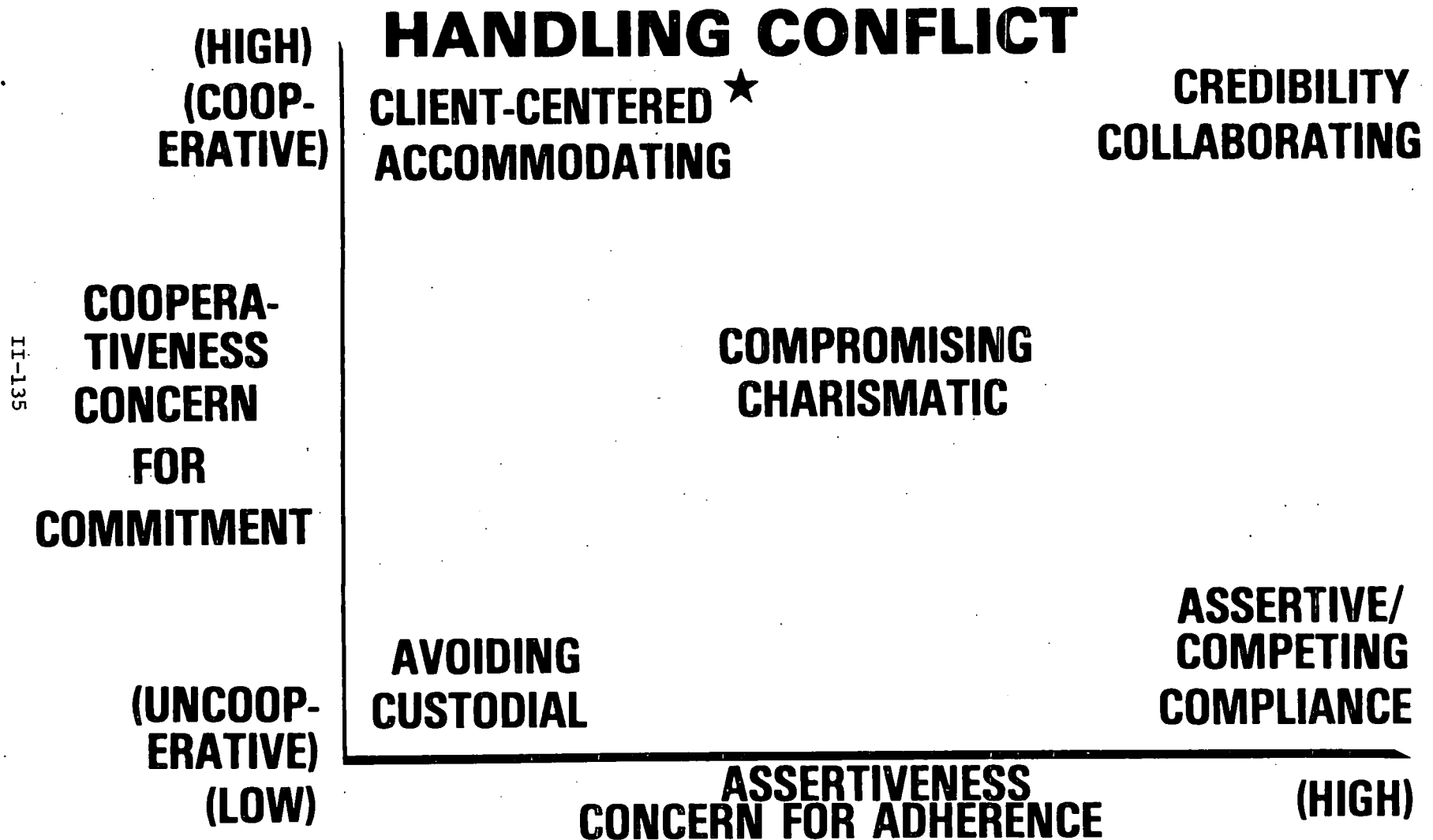
Many of the techniques involved in this process are similar to those utilized in a conflict situation in which the manager is an immediate actor.

#### D. Change and Conflict -- Summary

As we have seen in the Case Study, change and conflict can create havoc in the lives of criminal justice administrators. As the planning process moves more and more into the operational level, the chances/opportunities for both change and conflict increase. As we will see in the next Module, the transition from planning to implementation will produce even greater conflicts among the characters in the Case Study -- especially those reluctant to respond to change.

*Emphasize the relationship between change and conflict. Different situations require different approaches in order to manage the change. Show visual 2-7 with "flip."*

# CHANGE AGENT STYLES



★ "CLIENT" = SUBORDINATES, FOLLOWERS, OTHER OBJECTS OF INFLUENCE

## LECTURE NOTES

### IX. CONCLUSION

The instructor should re-emphasize the following points:

A. Three levels of planning were introduced in this Module:

1. Normative
2. Strategic
3. Operational

Each of these levels addresses a specific question and has a time-frame.

B. The three levels of planning discussed in this Module cover Steps 1-11 in the Management Process Chart:

1. Steps 2 and 3 are called a Situation Analysis. Conducting the Situation Analysis requires:

- a. Assessing Internal and External Variables (Step 2),
- b. Developing Environmental Assumptions, Categorizing Variables, and developing Variable Response Plans (Step 3).

2. The key management decision points occur at Steps 7, 8, 10 and 11. Specific decision packages were presented for making the decisions identified at these points. They were as follows:

- a. Decision Point 1, Step 7:  
The Normative Goal Decision Package.
- b. Decision Point 2, Step 8:  
The Alternative Strategic Goal Decision Package.
- c. Decision Point 3, Step 10:  
The Interim Strategy Decision Package.

### Key Points and Comments

The Instructor may wish to use this outline to introduce the materials to be covered in this module.

Display Visual 2-2 while reviewing A. and B

Refer to the Management Process Chart for these points.

Point out the use of the "Organizational Personality" theory in assessing talent.

Point out again that the Decision Packages represent a suggested format only. Each criminal justice administrator should

## LECTURE NOTES

### d. Decision Point 4, Step 11:

The Alternative Element Decision Package,  
The Preferred Strategy Decision Package, and  
The Strategic Decision Package.

### C. Change and Conflict

As planning moves toward more operational considerations, i.e., toward consideration of strategies and elements to be implemented, change and conflict become increasingly more possible. Accordingly, we discussed change and conflict and approaches criminal justice administrators can adopt to successfully deal with these phenomena.

### D. Summary

Clearly defining at what point one management responsibility ends and another begins is not really possible. All three -- planning, organizing, and controlling -- overlap. The decision to stop the Module on Planning at Step 11 does not really mean that planning stops at this point. The next Module will address organizing, which entails to a degree the further development of operational "plans." Participants should be reminded of these overlaps and interrelationships as they are evinced in the course.

## Key Points and Comments

*insure, however,  
that the types of  
information and  
thought process  
reflected in these  
Packages are  
incorporated in  
some form in their  
organizational  
units or programs.*

## MODULE TWO TEXT

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

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

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

## Annotated Bibliography

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

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

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

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

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

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

II-139

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

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

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

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

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



operational constraints likely to encumber a criminal justice organization's planning activities, and a review of the growth and status of criminal justice as a system. The study emphasizes that planners and managers in police departments (and in other service-delivery agencies) need to have a much more precise understanding of what a planning unit can and should do, whom it can serve, and the potential for abuse. A bibliography and supporting documentation are included.

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

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

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

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

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

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

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

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

## Resource Bibliography

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

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

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

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

MODULE THREE

ORGANIZING AND IMPLEMENTING

CRIMINAL JUSTICE PROGRAMS

AND ACTIVITIES



## MODULE THREE

### ORGANIZING AND IMPLEMENTING CRIMINAL JUSTICE PROGRAMS AND ACTIVITIES

#### Module Overview

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

#### Learning Objectives

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

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

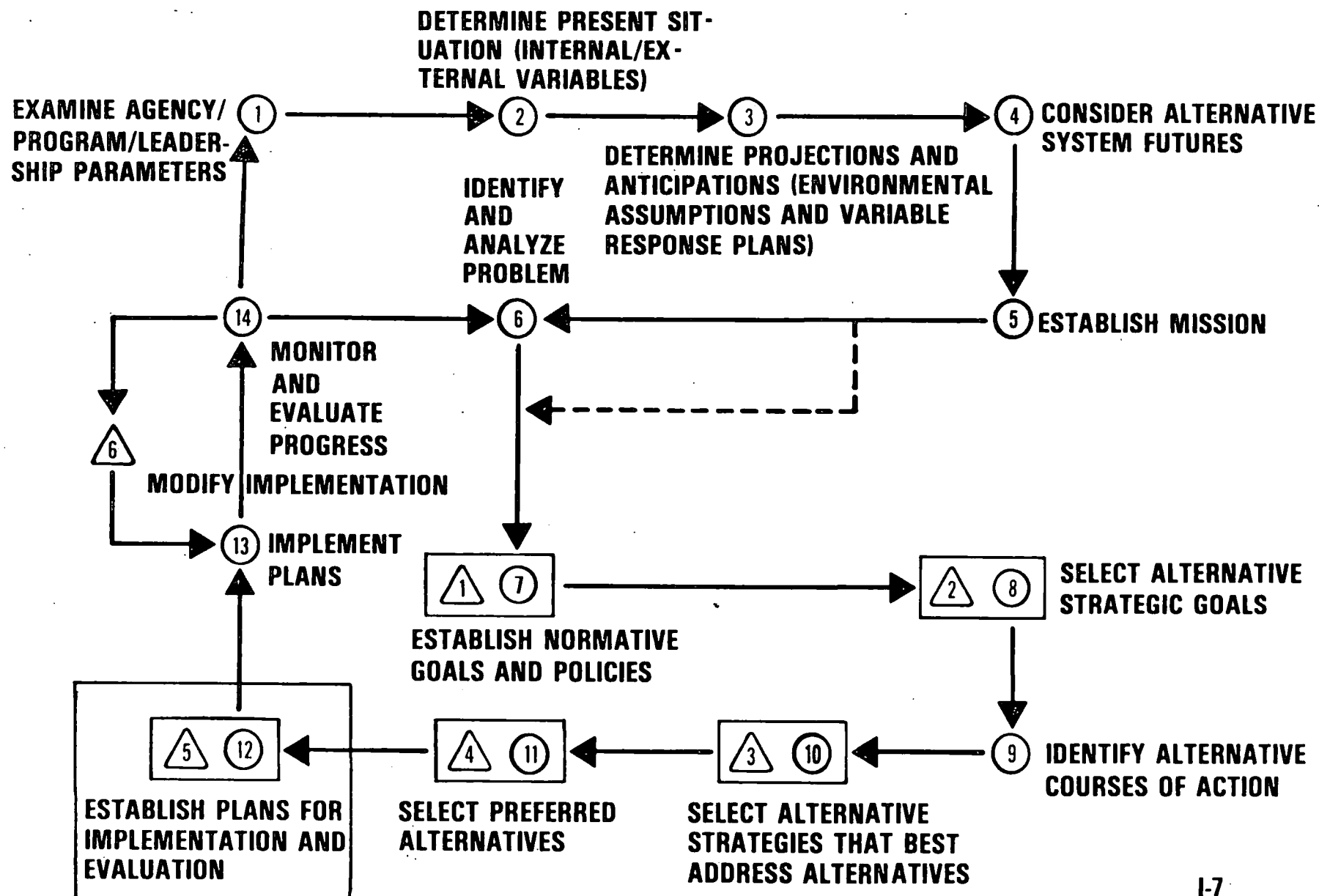
#### Description

This module consists of the following components:

1. Lecture
2. Desk exercises
3. Group exercises

# MANAGEMENT PROCESS

III-2



I-7

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

## LECTURE NOTES

Key Points and Comments
<p>Point out that there is a difference between organizing and organizational structure. This course does not address the latter topic due to the broad range available and the situational dependencies of each, as well as the issue of legislatively mandated structures.</p>

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

#### A. Relationship to Planning and Controlling

As indicated in the Conclusion of Module Two, none of the three management responsibilities of the criminal justice administrator exists in a vacuum, detached from the other two. Organizing has been defined as "establishing a framework in which the objectives developed during planning can be achieved." Attempting to organize without well-defined objectives is similar to packing clothes for a trip without knowing whether the destination is the Sahara Desert or the North Pole! The criminal justice administrator should never lose sight of the fact that these objectives themselves are the products of an organized management process that has required an integrated effort by the criminal justice administrator and members of his or her staff. Objectives are meaningless unless they have been developed utilizing a process such as the one described in Module Two that insures their ability to contribute to achieving strategic and normative goals and a mission.

#### B. Organizing and Results

Organizing has been defined as "establishing a framework in which the results established during planning can be achieved." The key word in this

## LECTURE NOTES

Key Points and Comments
<i>Focus on organizing for implementation of the Planning Product, not on organizational goals.</i>

definition is "results." Organizing is guided by the results that are chosen. If a middle distance runner who trains by running only four miles during a daily workout decides to run a marathon, the runner obviously will have to "reorganize" any workout scheme to have any hope of achieving the new objective. Similarly, the ways in which an agency, division, etc., organizes its human and non-human resources should be guided by the results established for it. Far too often, organizing becomes an end in itself in many agencies, rather than a means to achieve results. The primary focus of organizing is on the objectives specified in the alternative elements selected for implementation. These objectives provide clearly defined end results that can serve as the focus for organizing efforts.

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

As was mentioned above, the approach taken by a criminal justice administrator in fulfilling the organizing responsibility should be guided by the objectives that are supposed to be achieved. Based on our discussion of the three roles of the criminal justice administrator in Module One, it should be fairly obvious that the objectives pursued by a criminal justice administrator in each of the three roles are distinctly different, and the degree and kinds of power that can be exercised in each of the roles to perform the organizing responsibility are also varied. Consequently, the criminal justice administrator has to approach the task of organizing in a different way for each role. To "set the stage" for the in-depth discussion of organizing techniques that



## LECTURE NOTES

Key Points and Comments
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follows in this Module, a brief description is now provided for the context in which organizing occurs in each of three roles.

### 1. Director of an Organizational Unit

In this role, the focus of the criminal justice administrator's organizing efforts is to create an organizational framework and environment best equipped to achieve agency objectives. In doing this, the administrator can exercise traditional managerial authority over those resources within the organizational unit. Consequently, the methods employed by the administrator in accomplishing the organizing and implementing tasks can be, in general, consistent with those used by managers in other public and private sector agencies.

### 2. Manager of Programs

As a manager of programs, the criminal justice administrator is primarily concerned with developing a capacity in other agencies in the criminal justice system to successfully implement programs and projects. In managing programs, the administrator does not exercise the day-to-day managerial authority enjoyed by the director of an organizational unit. Consequently, a manager of programs must employ a different approach in attempting to insure that those organizations that implement criminal justice programs and projects follow sound principles and techniques in organizing and deploying their resources to achieve program or project objectives. Successfully doing this requires the criminal justice administrator to first, be knowledgeable about how organizing and implementing techniques should be applied to criminal justice

programs and projects, and second, identify the most effective means possible to "influence" the criminal justice agencies administering the programs and projects to perform these techniques properly. The level of "influence" that can be exacted to this end is again dependent on the degree of formal authority possessed by the administrator as a program manager and the amount of individual credibility the administrator has established with the agencies implementing program components.

### 3. Leader in the Criminal Justice System

The organizing and implementation responsibilities of the criminal justice administrator acting in the role of leader in the criminal justice system are distinctly different from the roles of director of an organizational unit or manager of programs. The focus of the organizing activities in the leader role is to organize the professional groups, constituencies, public information efforts, "advocacy" activities, and so on which are required to achieve the objective of contributing to substantive change in the criminal justice system. Given the absence of formal authority in this role, the criminal justice administrator usually functions more as a "coordinator" or "technical assistance agent" than a manager. Often, the activities in this role require the administrator to act independently of other individuals, organizations and groups, and in these situations any organizing efforts are directed at a kind of personal organization or organizing oneself. This can be one of the most difficult tasks undertaken by anyone. Nevertheless, many of the principles and techniques we will discuss

## LECTURE NOTES

Key Points and Comments

in this Module are quite applicable to the role of the leader in the criminal justice system. Even more so than in the role of the manager of programs, the criminal justice administrator acting as a leader in the criminal justice system must identify and use methods that do not rely on ascribed authority. At the same time, the administrator must insure that the same basic principles of organizing that are applied in the role of director of an organizational unit are applied in pursuing the objectives established for the role of leader in the criminal justice system. The criminal justice administrator acting as a leader may be requested by a criminal justice agency to provide technical assistance in areas requiring knowledge of how to apply organizing techniques. But, as was the case with the role of manager of programs, this depends on the administrator's personal credibility as well as expertise.

### D. Summary

Successfully performing the organizing responsibility in each of the three roles requires great flexibility -- and, at times, ingenuity -- on the part of the criminal justice administrator. Not only must the administrator know how to organize an organizational unit, program, project or activity to insure that it functions properly, but that same individual must also use both ascribed and achieved power to promote sound organizing practices in the three role areas. The remainder of this module addresses specific techniques and approaches that the criminal justice administrator can utilize in successfully performing any organizing responsibilities.

## LECTURE NOTES

The following format will be used in discussing the relevant topics in this area:

1. An explanation of the basic concepts involved in properly organizing and implementing organizational plans, programs and activities;
2. An explanation of how various organizing and implementation techniques can be applied in organizing and implementing criminal justice programs and activities; and
3. Our discussion of organizing will address how the "implementation plan" in Step 12, Decision Point 5, is developed. The next module, on Controlling, will discuss the second phase of this Step, i.e., the Evaluation Plan.

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

To properly "organize" an organizational unit, program or intended area of impact, the criminal justice administrator needs to be knowledgeable of the basic issues that should be addressed in this context. The following segment of this Module identifies those key concepts and how they relate to the roles of a criminal justice administrator.

#### A. Responsibility

A responsibility is an obligation to perform a task that is necessary to achieve an organizational, program, or individual objective. Almost every element has a series of tasks that must be performed to achieve a certain objective. Establishing each task as a responsibility of someone within the organization

#### Key Points and Comments

*Display Visual 3-1.*

# **CONCEPTS OF ORGANIZING**

- **RESPONSIBILITY**
- **AUTHORITY**
- **DELEGATION**
- **ACCOUNTABILITY**

6-III

## LECTURE NOTES

Key Points and Comments
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is an essential component of organizing.

### B. Authority

Authority is the power of an individual to carry out responsibility(ies). As was discussed in Module One, there are various types and degrees of power available to a criminal justice administrator functioning in the three roles. As the performance of the organizing responsibility is examined, the critical implication of this variance will be evident.

### C. Delegation

Delegation is the process by which a manager assigns responsibilities and authority to a subordinate or by which team members allocate responsibilities and authority within their groups. One of the most important aspects of organizing concerns the relationship of responsibility and authority in the process of delegation: the criminal justice administrator must insure to the greatest extent possible that sufficient authority is delegated to accomplish the responsibility in question. Achievement of objectives is severely imperiled if individuals are trying to perform responsibilities with insufficient authority. Obviously, given the varying degrees of authority available to the criminal justice administrator acting as a manager of programs or leader in the criminal justice system, it is not surprising that successfully performing responsibilities in these areas is often extremely difficult. For example, a program manager would probably not have the authority necessary to dismiss an incompetent project manager in the administrator's program area

## LECTURE NOTES

### Key Points and Comments

if that project were being implemented by another criminal justice agency.

#### D. Accountability

Accountability, like responsibility, involves obligation. Specifically, it is the obligation of the person to whom authority has been delegated to use that authority to perform the intended responsibility.

When a criminal justice administrator delegates authority to a subordinate to perform an assigned responsibility, that subordinate becomes accountable to the criminal justice administrator to use that authority to perform the responsibility.

#### E. Conclusion

Each of the elements described above is crucial to effectively organizing criminal justice agencies, programs and activities. The degree to which responsibility, authority, delegation and accountability are incorporated into the organizing responsibility will determine how well the resources available are utilized in attaining objectives. The next segment in the Module presents an approach the criminal justice administrator can use in each of the three roles to help assure that these four factors are satisfactorily incorporated in implementation of programs and activities.

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

#### A. The "Action Plan"

The first step in properly organizing is the creation of "action plans" for each of the strategies

# ACTION PLAN

STRATEGIC  
ELEMENT:

MANAGER:

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

III-12



selected for implementation. The action plan is the important beginning in the organizing process because it enables the criminal justice administrator to start at the outset to address the four critical issues described in the previous section of this Module. The development and utilization of the action plan is described below.

This visual describes the relationship between the action plan and the Method of Rationales. The first step in developing the action plan is to list the activities specified in the Method of Rationales in the column entitled "Responsibility." After designating the required responsibilities based on the activities listed in the MOR, the next step is to designate who is to be accountable for performing each responsibility. Implicit in the designation of the "Individual Accountable" is the delegation by the "Manager" of the action plan of sufficient authority to the "Individual Accountable" to perform that responsibility. (The three remaining columns -- "Projected Start," "Projected Completion," and "Verification" -- will be discussed later in the course.) The process of developing the action plan therefore addresses all four of the key concepts in organizing:

- It defines responsibility.
- It delegates authority.
- It creates accountability.

Additionally, the Action Plan helps to spell out relationships among individuals working on the same element. It establishes a division of labor, and

*Display Visual 3-2*

## LECTURE NOTES

Key Points and Comments
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specifies who has the authority to do what, when, and where vis-a-vis other members of the organizational unit or program. The action plan thus provides a valuable tool to the criminal justice administrator in beginning to organize to implement strategies and elements. One important point needs to be emphasized at this point: the MOR can produce many action plans, depending on how complex it is. For example, an MOR for the development of 12 community-based treatment facilities will probably require 12 action plans, one for each facility. In any event, the basic process of designating the required activities (responsibilities), designating the individual accountable, and so forth, remains the same. The action plan provides a useful format for the criminal justice administrator to organize resources, but it fails to provide a useful vehicle for examining the relationship of the various responsibilities in the implementation of a particular strategy. The next two segments of the Module present techniques that can help the criminal justice administrator gain a greater understanding of these kinds of factors.

### B. Program Evaluation and Review Technique (PERT)

One of the most important tasks criminal justice administrators have in organizing the activities (responsibilities) required to implement a strategy is to establish the relationship between and among them, both in terms of time and interdependence. For example, does Activity A have to occur before Activity B can begin? And if it does, how much time is required to complete Activity A? Being able to grasp these

## LECTURE NOTES

Key Points and Comments
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relationships can enable criminal justice administrators to more effectively organize, synchronize and deploy their resources to implement strategies. As was indicated above, the action plan does not readily provide these kinds of information, so criminal justice administrators must utilize other "tools" to obtain it. PERT (Program Evaluation Review Technique) was developed during the production of the Polaris submarine to assist the developers of the Polaris in quickly and accurately determining these inter-relationships. PERT can also be used by criminal justice administrators to achieve this same purpose.

### 1. The Three Basic Components of a PERT Chart

A PERT chart describes several aspects concerning an element that can be essential to a criminal justice administrator in properly organizing and implementing that element:

a. First, it describes the activities that must be carried out in order for an element to be completed. An "activity" is defined as the work necessary to progress from one event (point in time) to another. Activities are the operations which consume time, money or manpower, and are characterized by a specific initiating (predecessor) event and a terminal (successor) event. There are pitfalls in the selection of activities just as in the selection of events, particularly if the planner tries to define an activity without reference to its predecessor and successor events. It is generally best to start with a list of clearly defined "key" events and to introduce the proper activities between these events in order to avoid or at least reduce improper definition of the

## LECTURE NOTES

Key Points and Comments

activities. Activities are represented in PERT charts, project networks and CPA arrow diagrams as solid lines joining events, with an arrowhead indicating the direction of flow, or time-dependency. Letters, e.g. (A), are sometimes used to describe the activity operation. In PERT, two numbers (the activity start and complete event numbers), e.g. 7-8, are usually used to describe activities.

b. Second, it describes the events that are the identifiable beginning and ending points for an activity. An "event" is defined as a discrete point in time. Events do not consume time or resources, and are normally represented (graphically) by rectangles or circles with numbers inside, e.g. (1). When the beginning and ending event circles are connected by the activity arrow, an event - activity - event "chain" is formed. For example, in an element involving the opening of a halfway house, a major activity would probably be purchasing furnishings for the halfway house. An event - activity - event chain for this activity could be shown as follows:



Activity (F) = Purchase furnishings for halfway house

Event 7 = Start purchase of furnishings

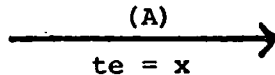
Event 8 = Furnishings delivered completed

The event-activity-event chain thus formed would indicate that purchasing furnishings for the halfway house would begin when a lease for the dwelling to be used was signed and would end when all of the designated furnishings were delivered.

## LECTURE NOTES

The importance of a clear and unambiguous understanding of events and activities cannot be overstressed. Precise event definition is important, because occurrence of events indicates what actual progress has been made on the program. Likewise, rigorous attention to activity definition is crucial to successful use of program planning for allocation of resources. Activities must be reportable items of work for valid progress evaluation.

c. Third, the PERT Chart describes the estimated time required to complete each activity. This time is shown on the "activity arrow" as follows:



The process for determining the most accurate time estimate (te) involves the use of a formula derived from a Beta distribution which, in the opinion of many expert planners, provides optimum accuracy in estimating. The process is as follows:

- Establish estimates for the three following activity times:

1. Optimistic time (a). If the work required to complete the activity proceeds without any problems or interferences, what is the least amount of time it will take to complete the activity?

2. Most likely time (b). Under normal conditions, how long should it realistically take to complete the activity: (This is the time frame usually given in the Activity Plan.)

Key Points and Comments
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## LECTURE NOTES

### Key Points and Comments

3. Pessimistic time (c). Given the worst conditions, how long should it take to complete an activity?

• Calculate the time estimate for each activity (te) using the following formula:

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

te = Activity time estimate

a = Optimistic time

b = Most likely time

c = Pessimistic time

An example of how this formula works is as follows:

In the example cited above for the activity of purchasing furnishings, calculating the estimated time (te) might go as follows:

a. Optimistic time = 4 weeks

b. Most likely time = 5.5 weeks

c. Pessimistic time = 10 weeks

$$te = \frac{4 + 4(5.5) + 10}{6} = \frac{36}{6} = 6 \text{ weeks}$$

The above process enables the criminal justice administrator to establish a realistic time estimate for each activity to be shown in the PERT Chart. Once established, these times can be added to the "Projected Start" and "Projected Completion" columns in the Action Plan.

d. Fourth, a PERT Chart describes the relationship between the activities in an element,

e.g. in what sequence should activities take place. Again, using the example of the activity of purchasing furnishings for the halfway house, we indicated that the beginning event was "start purchase of furnishings." It is highly likely that this event would be based on the end event "sign lease for dwelling" for the event-activity-event chain "secure site for halfway house," which had as its beginning event "funds appropriated for halfway house." This relationship would be shown on a PERT Chart as follows:



- Event 6 = Funds appropriated for halfway house
- Event 7 = Sign lease on dwelling and start furnishings purchase.
- Event 8 = Furnishings delivered
- Activity E = Secure site for halfway house
- Activity F = Purchase furnishings for halfway house

Note: Event 7 can logically represent (as a point in time) both the end of Activity E "secure site for halfway house" and the beginning of Activity F "purchase furnishings for halfway house." The end of Activity E would be represented by the event "sign lease on dwellings." The beginning of Activity F would be represented by the event "start furnishings purchase."

By arranging the event - activity - event chains for all the activities in an element in this fashion, the criminal justice administrator can easily identify the sequence and dependencies among the activities and can more clearly organize the activities to achieve the desired results.

Key Points and Comments
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## LECTURE NOTES

### 2. Summary

Once completed, a PERT Chart provides the criminal justice administrator with a clear picture of when and in what sequence the activities required to implement an element will take place.

All the activities in a program are related to each other in various ways. These relationships are called dependencies. Activities can be related to one another because they employ common resources:

#### a. Facilities and Equipment -

Activities which must employ common facilities or equipment and cannot do so concurrently are dependent upon one another; one must be completed before the next can start.

#### b. Funding -

Activities which cannot start until certain funding activities have been accomplished are dependent upon the completion of those activities.

#### c. Peoplepower -

Activities which must use the same people resources are dependent, one upon the completion of the other.

Most dependency relationships result simply from the fact that an activity cannot begin until the product of the preceding activity is available. In some cases, it is necessary to resort to the use of a "dummy" or zero-time activity (usually shown as a broken line) to represent the logical dependencies in a PERT Chart.

### Key Points and Comments

*The instructor may refer participants to Exhibits 3-1 and 3-2 to illustrate points presented in this section. Exhibit 3-1 is a modified format of an Action Plan, which is a good starting point for PERT.*



## LECTURE NOTES

The PERT Chart also provides the basis for another technique - the Critical Path Analysis - which can further assist the criminal justice administrator in deciding when and how to best allocate available resources. Critical Path is discussed next.

Key Points and Comments

PERT CHART EVENTS

EXHIBIT 3-1

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

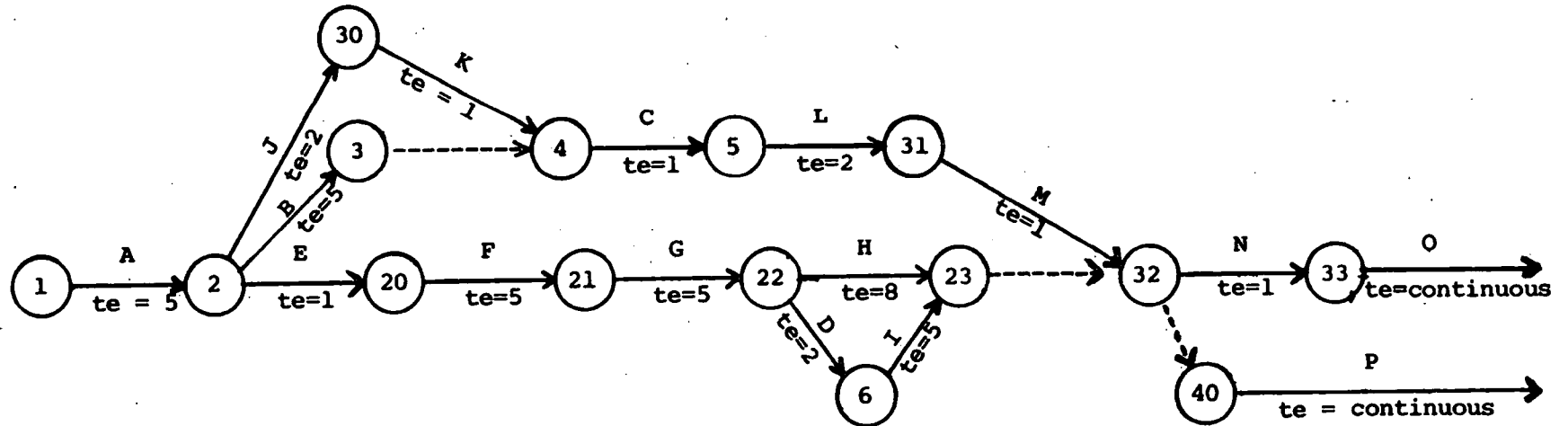
MANAGER: TOM JACKSON

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

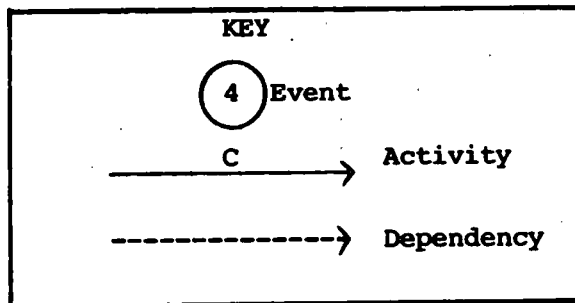
III-22

PERT CHART FOR COMMUNITY-BASED TREATMENT FACILITY

EXHIBIT 3-2



11F-23



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

III-24

## CASE STUDY EPISODE SIX

### A. Introduction

The objective of this desk exercise is for the participants to gain direct experience in preparing a skeleton PERT Chart.

### B. Administration

1. After presenting the Introduction, pass out the materials needed to do the exercises in Episode Six.
2. Instruct participants to read the instructions provided for Episode Six.
3. Call for and respond to questions concerning the instructions.



CASE STUDY  
EPISODE SIX

Developing an Implementation Plan

Objective:

At the completion of Episode Six, participants should be able to prepare a proper PERT Chart to assist in implementing a criminal justice program.

Instructions

Please read the following documents, then prepare a PERT network (omitting te) that indicates what Rod Brayton is intending to do in developing and carrying out an impact assessment of the Downtown Business District Program. (These documents will also give you an opportunity to see more of the internal conflicts faced by Director Voyles.)

Your answers should be in the form of "fill in the blanks."

1. Page one should list the events that will be shown on the PERT Chart.
2. Page two should indicate the activities to be shown.
3. Page three should show the actual PERT Chart, omitting, of course, the time estimates.

EPISODE SIX

Answer Sheet

PERT Chart Events  
for Impact Assessment of  
Downtown Business District

1.

2.

3.

4.

5.

6.

7.

8.

9.

10.

11.

12.

13.



EPISODE SIX

Answer Sheet (continued)

PERT Chart Activities  
for Impact Assessment of  
Downtown Business District

A.

B.

C.

D.

E.

F.

G.

H.

I.

J.

K.

L.

M.

N.

O.

EPISODE SIX

Answer Sheet (continued)

PERT Chart  
for Impact Assessment of  
Downtown Business District  
(less te)

# Payneless County

**PAYNELESS COUNTY  
CRIMINAL JUSTICE PLANNING AGENCY  
313 COURTHOUSE SQUARE  
GOTHAM CITY, MISERY 00007**

**VIRGIL VOYLES  
DIRECTOR**

March 20, 1980

**TO: Richard Williams and Rod Brayton**  
**FROM: Virgil Voyles**  
**TOPIC: Action Plans for Implementing the  
Downtown Business District Program**

As we discussed in our meeting yesterday, the Downtown Business District Program is going to require us to engage in more extensive evaluation and technical assistance efforts than this agency has been involved in in the past. As I stated, the magnitude of the effort is probably going to require us to carefully examine how we currently organize and utilize our agency resources. Accordingly, I am requesting that each of you submit to me a series of action plans describing how you think we should allocate resources to perform those technical assistance and evaluation tasks included in the program that you interpret as being in your functional area. After I have received and reviewed your input, the three of us will meet and iron out any major differences. Please submit your action plans to me by April 1.

# Payneless County

PAYNELESS COUNTY  
CRIMINAL JUSTICE PLANNING AGENCY  
313 COURTHOUSE SQUARE  
GOTHAM CITY, MISERY 00007

Rod Brayton  
Assistant Director  
for Grants Management

March 25, 1980

TO: Virgil Voyles  
FROM: Rod Brayton  
TOPIC: Action Plans for Downtown Business District Program

This is in response to your request for Action Plans describing how I think this agency should perform technical assistance and evaluation tasks associated with the Downtown Business District Program. As I have repeatedly indicated to you, my staff is hard pressed to insure the financial integrity of the projects we fund. My staff and I strongly believe it would be a serious mistake to divert resources from concrete financial auditing to attempt to "quantify" the "unquantifiable." Furthermore, with the exception of offering technical assistance in the area of budgeting, my staff has neither the background nor the time to indulge in such activities. If you feel, however, that such activities are indeed a necessity, I would suggest utilizing Mr. Williams' staff.

# Payneless County

PAYNELESS COUNTY  
CRIMINAL JUSTICE PLANNING AGENCY  
313 COURTHOUSE SQUARE  
GOTHAM CITY, MISERY 00007

Richard Williams  
Assistant Director  
for Planning

April 1, 1980

TO: Virgil Voyles  
FROM: Richard Williams  
TOPIC: Action Plans for Downtown Business District Program

Attached are the action plans you requested for the technical assistance and evaluation components of the Downtown Business District Program. As I indicated to you earlier, we are not currently organized to effectively conduct programmatic evaluation along the lines you requested. Implicit, therefore, in the attached action plans are variations in the current organizational chain-of-command. This especially applies to Jerry Travers. In my opinion, Mr. Travers is the only agency staff member who clearly understands how such evaluations should be conducted. He is, therefore, an integral part of my action plans. I furthermore believe that the importance of this project is too great to have Mr. Travers' involvement with me and my staff hampered by petty harassment by Rod Brayton. Mr. Brayton obviously opposed Mr. Travers' assistance to us during the development of the Downtown Business District proposal. He consequently did everything he could to make life miserable for Mr. Travers, including requiring him to work overtime and weekends to "compensate" for the time he spent assisting us. I am therefore requesting that Mr. Travers be transferred to my division for the duration of this program. I believe this is the most practical step to take to achieve the objectives we have established concerning evaluation and technical assistance.

CS 6-7

ACTION PLAN

STRATEGY: STRATEGY FOR IDENTIFYING AND DELIVERING TECHNICAL  
ASSISTANCE IN THE DOWNTOWN BUSINESS DISTRICT PROGRAM

MANAGER: RICHARD WILLIAMS

RESPONSIBILITY	INDIVIDUAL ACCOUNTABLE	PROJECTED START	PROJECTED COMPLETION	VERIFICATION
1. Design monitoring plan to identify key TA needs in component projects	1. Jerry Travers	1. 6/1/80	1. 7/1/80	1. Copy of Plan
2. Conduct monitoring activities	2. Jerry Travers and appropriate Planning Staff member	2. 7/1/80	2. 6/30/81	2. Monitoring Reports
3. Identify TA needs	3. Jerry Travers and appropriate Planning Staff member	3. 7/1/80	3. 6/30/81 on-going	3. Reports
4. Identify TA source	4. Appropriate Planning Staff member	4. 7/1/80	4. 6/30/81 on-going	4. Reports
5. Deliver TA	5. Appropriate Planning Staff member	5. 7/1/80	5. 6/30/81 on-going	5. Reports
6. Monitor TA effectiveness	6. Jerry Travers	6. 7/1/80	6. 6/30/81 ongoing	6. Monitoring Reports

CS 6-8

# Payneless County

**PAYNELESS COUNTY**  
**CRIMINAL JUSTICE PLANNING AGENCY**  
**313 COURTHOUSE SQUARE**  
**GOTHAM CITY, MISERY 00007**

Rod Brayton  
Assistant Director  
for Grants Management

April 3, 1980

TO: Virgil Voyles  
FROM: Rod Brayton  
TOPIC: Action Plans for Downtown Business District Program

As you requested, I have reviewed the action plans for the Downtown Business District Program submitted by Mr. Williams. My initial reaction is shock and outright anger! What these action plans reflect is a brazen effort on his part to usurp my authority. He clearly is attempting to assume control of my subordinates, and I resent that. I indicated to you that I felt we were setting a bad precedent when you allowed Mr. Williams to use Jerry Travers in the preparation of the Downtown Business District proposal. Bureaucrats are just like communists! Give them the idea that they can expand with little resistance and they most assuredly will. Using Mr. Travers obviously whetted Mr. Williams' appetite for bureaucratic expansion. I believe in cooperation to get a job done, so I reluctantly went along with Mr. Travers helping in the preparation of the Downtown Business District proposal. Enough is enough! If my division is to play its proper role in seeing that the monies we're investing in this downtown program area are properly spent, I must have the authority to direct the activities of my subordinates. I trust that you see this too, and will support me in this matter.

# Payneless County

PAYNELESS COUNTY  
CRIMINAL JUSTICE PLANNING AGENCY  
313 COURTHOUSE SQUARE  
GOTHAM CITY, MISERY 00007

VIRGIL VOYLES  
DIRECTOR

April 15, 1980

TO: Rod Brayton  
FROM: Virgil Voyles  
TOPIC: Impact Evaluation of Downtown Business District Program

I trust that our series of conferences have alleviated your concerns about a move to oust you from the Planning Agency. I once again assure you that this is not the case. My decision to assign Mr. Travers to Mr. Williams' division for the duration of this program is guided solely by my belief that this is the most logical approach to achieving the objectives we have established.

As I'm sure you're now aware, I intend for you to be actively involved in the monitoring and evaluation efforts in this program. We're going to make a major attempt to conduct an impact assessment of our program. As I indicated to you, I want you to be responsible for this effort. Accordingly, I want you to prepare for me a description of how you would conduct this assessment. I am not totally insensitive to the fact that this sort of effort is a marked departure from your usual job assignments. Please seek all the advice and background information you need to put together a sound proposal. If you need travel funds to consult with consultants in preparing this plan, please let me know. I'll do everything budgetarily feasible to assist you.

I'm confident that you realize that your assignment to monitor the programs of the Community-based Treatment Facility is quite critical to this program. That is why I'm assigning it as the only project you're monitoring. You will be responsible for working closely with the project manager to keep

CS 6-10



Rod Brayton Memo  
Page Two  
April 15, 1980

each other informed of what is happening at each step in the process. This effort is already under attack in the community, and we must monitor it closely to help insure its success. I'm counting on you to stay on top of it.

I appreciate the enthusiasm you expressed about this assignment. I'm confident that you can perform this vital task well.

# Payneless County

PAYNELESS COUNTY  
CRIMINAL JUSTICE PLANNING AGENCY  
313 COURTHOUSE SQUARE  
GOTHAM CITY, MISERY 00007

Rod Brayton  
Assistant Director  
for Grants Management

May 19, 1980

TO: Virgil Voyles  
FROM: Rod Brayton  
TOPIC: Assessing the Downtown Business District Program

Attached is the action plan for the impact assessment of the Downtown Business District Program. It represents the synthesis of input from varied sources, including the evaluation staff of the State Planning Agency, the President of the Downtown Merchants' Association, all of the criminal justice agencies involved, and our staff. Based on this various input, I have concluded that the best way to assess the overall impact of the program is to conduct a scaled-down version of the victimization and public opinion surveys that would "zero in" on the downtown business district. I am satisfied that this is the most logical approach to take in this matter.

Please let me know if you need additional information.

**ACTION PLAN: ASSESSING THE IMPACT OF THE DOWNTOWN BUSINESS DISTRICT PROGRAM**

**MANAGER: ROD BRAYTON**

CS 6-13

RESPONSIBILITY	INDIVIDUAL RESPONSIBLE	PROJECTED START	PROJECTED COMPLETION	VERIFICATION
1. Review research methodology and questions from 1979 Victimization and Public Opinion Surveys	1. Rod Brayton	1. 10/1/80	1. 10/28/80	1. Report
2. Research other sources of possible research questions	2. Dave Konawicz	2. 10/10/80	2. 10/31/80	2. Report
3. Integrate baseline data	3. Rod Brayton	3. 11/1/80	3. 11/14/80	3. Report
4. Design surveys	4. Dave Konawicz	4. 11/17/80	4. 12/15/80	4. Draft copy of survey
5. Hire telephone interviewers	5. Dave Konawicz	5. 11/15/80	5. 1/31/81	5. Copies of contracts
6. Develop training course	6. Rod Brayton	6. 2/1/81	6. 2/18/81	6. Training manual
7. Train telephone interviewers	7. Rod Brayton	7. 3/30/81	7. 4/3/81	7. Report
8. Collect data	8. Dave Konawicz	8. 4/6/81	8. 5/4/81	8. Data
9. Analyze data	9. Rod Brayton	9. 5/1/81	9. 6/22/81	9. Report
10. Prepare interim report	10. Rod Brayton	10. 6/29/81	10. 7/6/81	10. Report
11. Revise report	11. Virgil Voyles	11. 7/6/81	11. 7/13/81	11. Report
12. Present report to Advisory Board	12. Virgil Voyles	12. 7/15/81	12. 7/15/81	12. Minutes of meeting

# Payneless County

PAYNELESS COUNTY  
CRIMINAL JUSTICE PLANNING AGENCY  
313 COURTHOUSE SQUARE  
GOTHAM CITY, MISERY 00007

VIRGIL VOYLES  
DIRECTOR

May 22, 1980

TO: Rod Brayton  
FROM: Virgil Voyles  
TOPIC: Action Plan for Assessment of Downtown Business District Program

This is in response to your May 19, 1980 memo concerning the assessment of the above program. In general I am impressed with your approach. I can't, however, really understand the complete sequencing of the activities you have spelled out. I am particularly concerned about the temporaries who will conduct the survey. Who's going to recruit and employ them? When will this fit into your overall plan? I think perhaps it would be helpful to both of us if you prepared a PERT chart for this action plan. I know you aren't totally familiar with this format, so if you need assistance in preparing it, please let me know. I think you're on the right track, and I'm impressed with your overall approach. Let's just take it to the next step in development.

## EPISODE SIX: DEBRIEFING NOTES

On the following page are the correct answers for this Episode. Pass them out to participants at the completion of the thirty-minute period allotted for exercise completion.

Participants should be informed that other PERT Chart configurations are possible depending on individual approach, e.g., some participants might have used different numbers or letters to designate events and activities. The important points in the exercise are for their PERT Charts to reflect the following relationships and time sequences:

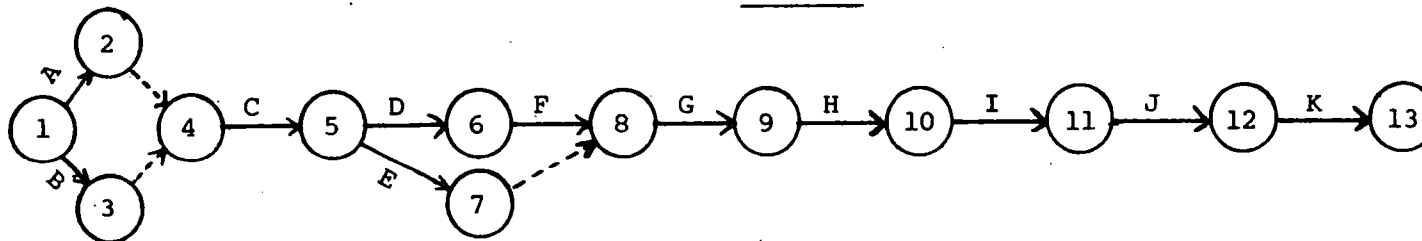
1. The research activities can be concurrent, thereby shortening the overall time of the project.
2. The research designs should be completed prior to training of the telephone interviewers so the forms can be used in the training process.

Ask participants for other possible "paths" that Brayton's PERT could show. Have participants comment on them.



# IMPACT ASSESSMENT OF DOWNTOWN BUSINESS DISTRICT PROGRAM

## Solution



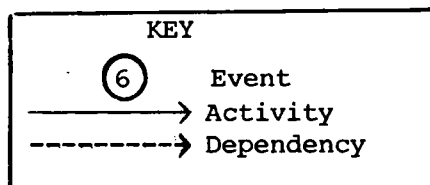
## EVENTS

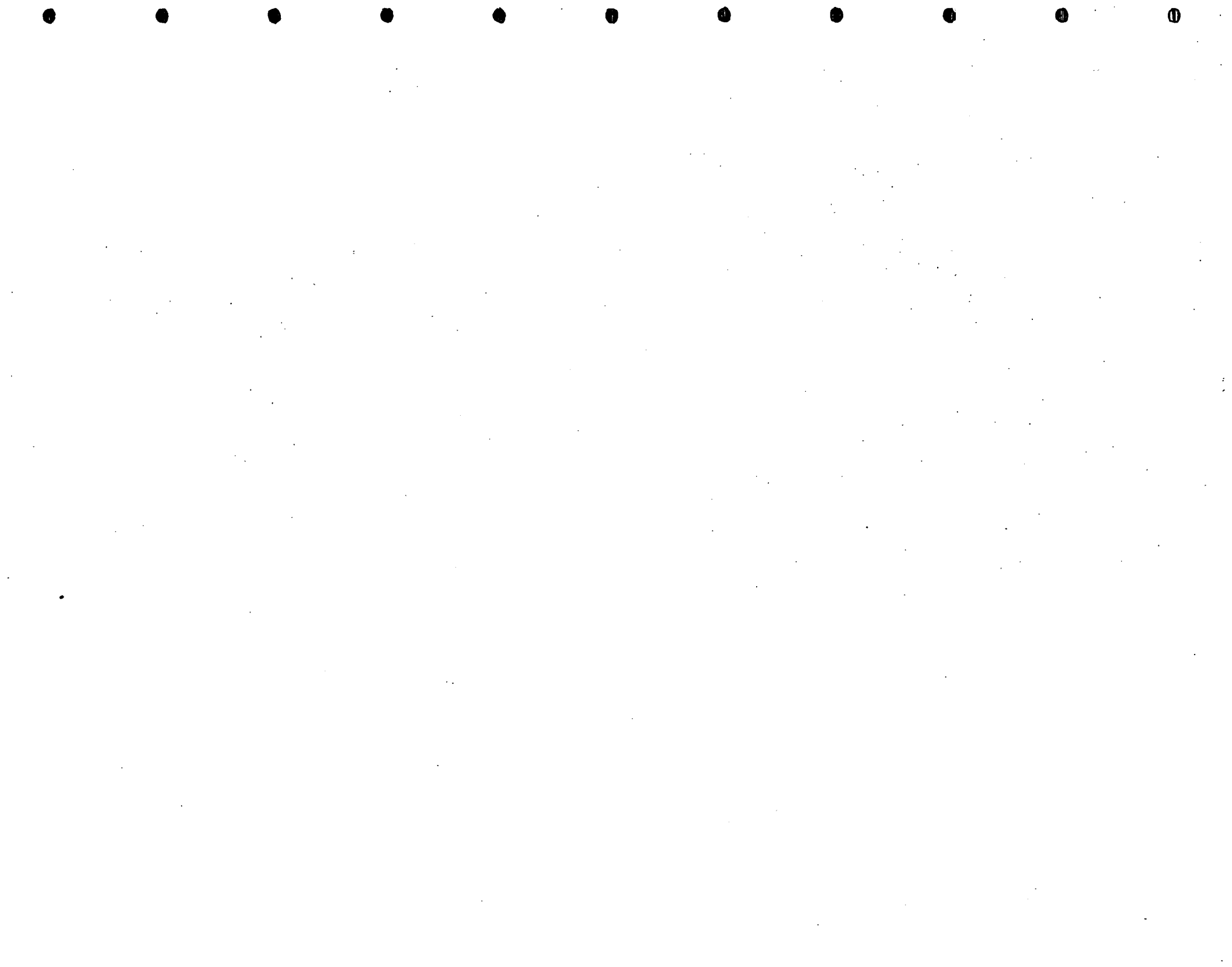
1. Begin impact assessment
2. Review of victimization study completed
3. Review of other studies completed
4. Begin integration of victimization and other studies
5. Baseline data established
6. Surveys designed
7. Telephone interviewers hired
8. Begin training of telephone interviewers
9. Training completed
10. Data collected
11. Data analysis completed
12. Report prepared
13. Presentation to advisory board

## ACTIVITIES

- A. Reviewing victimization study
- B. Reviewing other studies
- C. Integrating victimization and other studies
- D. Designing survey
- E. Hiring interviewers
- F. Developing training of interviewers
- G. Training
- H. Collecting data
- I. Analyzing data
- J. Writing report
- K. Making presentation

CS 6-15







C. Critical Path Analysis (CPA)

## 1. The Critical Path

As indicated above, one of the chief concerns of the criminal justice administrator in allocating resources is determining the most appropriate time to allocate them. In examining a PERT Chart, the criminal justice administrator should ask the question: In which of the sequences shown would a delay most seriously impact the implementation of the strategy? Knowing this can further assist in scheduling or rescheduling the remaining sequences.

Assume that Exhibit 3-3 describes the process of establishing the halfway house to which we have been alluding. As is readily evident, three main "paths" are shown:

1 - 2 - 3 - 9 - 10	= 17 weeks
1 - 2 - 4 - 5 - 8 - 9 - 10	= 32 weeks
1 - 2 - 6 - 7 - 9 - 10	= 27 weeks

We refer to the longest path as the critical path. Knowing the critical path can help the criminal justice administrator in several ways:

- o It helps the criminal justice administrator establish the longest sequence of activities in the element.
- o It establishes the shortest time in which the element can be completed.
- o It identifies key control points. Delays along the critical path mean delays in the final completion date of the element unless decisive "reorganization" occurs.

Establishing the critical path allows the criminal justice administrator to determine where delays cannot be tolerated. The critical path also can provide key information concerning those activities that can be delayed if resources are needed. This issue is addressed in the next segment of the module.

## 2. The Critical Path and "Slack Time"

As stated above, once implementation of the element begins there is no leeway along the critical path. On the other paths, however, there may be some leeway. For example, in Exhibit 3-3, path 2 - 3 - 9 takes eight weeks to complete and 2 - 4 - 5 - 8 - 9 takes 23 weeks. This means there is some leeway, or "slack time" as to when event 3 must begin. The total slack time is fifteen weeks.

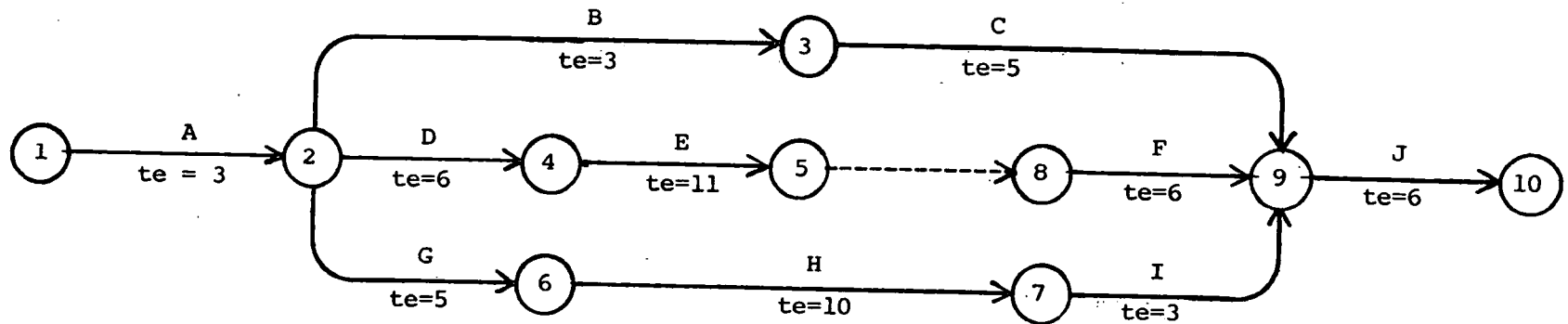
a. Knowing where slack time exists can be vitally important to the criminal justice administrator. It identifies where "slippage" can occur or resources can be diverted if problems arise along the critical path or if there is a need to divert resources to shorten the critical path.

b. Slack time is determined by subtracting the Earliest Possible Time ( $T_E$ ) an activity can begin from the Latest Allowable Time ( $T_L$ ) that activity can begin in order to meet the time requirements of the critical path. An example is provided below of how both  $T_E$  and  $T_L$  are computed.

(1) As stated above,  $T_E$  is the soonest an activity can begin. It is calculated by adding the times for all the activities in the PERT Chart that precede it. In the example cited above, the earliest

# CRITICAL PATH ANALYSIS FOR COMMUNITY-BASED TREATMENT FACILITY

EXHIBIT 3-3

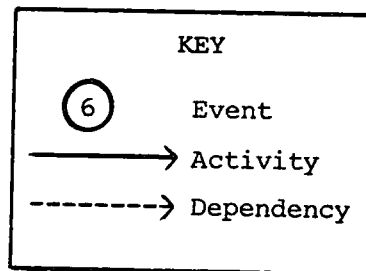


## ACTIVITIES

## TIME ESTIMATES (te)

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

## LIST OF KEY EVENTS



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

III-31

## LECTURE NOTES

Key Points and Comments

possible time  $T_E$  for event ③ is six weeks because it takes three weeks each for activities (A) and (B).

(2) Calculating Latest Allowable Time is slightly more complicated than determining  $T_E$ .  $T_L$  for an event is computed by working back along the noncritical path on which the event is included from the point at which that noncritical path meets an event on this critical path. In the case of event 3, this calculation would go as follows:

(a) The noncritical path of which 3 is an event meets the critical path at point 9. The time required for path 1 - 2 - 4 - 5 - 8 - 9 is 26 weeks.

(b) Working back along the non-critical path from point 9, we find that event 3 must begin at least five weeks prior to event 9, since this is the length of time required for activity (C).

(c) Therefore, the  $T_L$  for event 3 is 21 weeks from the beginning of the element, since this is the latest possible date 3 can occur without disturbing the critical path.

(3) Once  $T_E$  and  $T_L$  are computed, slack time is determined by subtracting  $T_E$  from  $T_L$ . In the case of event 3, this would be as follows:

$$\begin{aligned}
 T_E &= 6 \text{ weeks} \\
 T_L &= 21 \text{ weeks} \\
 \text{Slack} &= 21 - 6 = 15 \text{ weeks}
 \end{aligned}$$

c. Knowing the length of slack for a particular activity or the total amount of slack for an entire element can be very useful to a criminal justice

## LECTURE NOTES

Key Points and Comments
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administrator in determining how much leeway he or she has in implementing that element.

3. Calculating Slack Time: An Individual Exercise

a. Objective

The objective of this desk exercise is to have participants apply the concepts covered in discussions of PERT, Critical Path Analysis, and slack time.

b. Administration

1. Ask participants to read the instructions for this exercise on page III-32. of the Participant Guide (the instructions are shown on the next page of the Instructor Guide).

2. Ask for and respond to questions concerning the instructions.

3. Following responses to questions concerning instructions, remind participants that they have twenty minutes to complete this exercise.

## Calculating Slack Time: An Individual Exercise

### Instructions

Refer to Exhibit 3-3, "Critical Path Analysis for Community-based Treatment Facility." Using the information provided in this PERT Chart, calculate the slack times for the events shown in the table below. Note that the blanks have already been completed for Event 3 as per class discussion.

You have twenty minutes to complete this exercise.

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

### Desk Exercise De-Briefing

(Allow fifteen minutes for the de-briefing)

The correct answers for the exercise are shown below:

<u>Event</u>	Latest Allowable Time ( $T_L$ )	Earliest Possible Time ( $T_E$ )	Slack Time ( $T_L - T_E$ )
1. *	0	0	0
2. *	3	3	0
3.	21	6	15
4. *	9	9	0
5. *	20	20	0
6.	13	8	5
7.	23	18	5
8. *	20	20	0
9. *	26	26	0
10. *	32	32	0

Ask for "volunteers" to provide their answers for the above. If participants seem to be having difficulty computing slack times, select one of the events and "walk through" the process once more. Point out that those events with asterisks have 0 slack time because they are on the critical path.

4.  $T_L$  as a Budgetary Tool

The ability to calculate "Latest Allowable Time" can be extremely valuable to a criminal justice administrator in preparing and analyzing budgets.

a. Budget preparation.  $T_L$  can be used by the criminal justice administrator in addressing the crucial issues relating to how much should be budgeted for resources -- such as personnel, utilities, etc. -- that represent weekly, monthly, or other regular period payments. For example, knowing that staff psychologists can be hired as late as two-thirds of the way through a project can represent a significant savings of resources, thereby making such a project more acceptable for funding.

b. Budget analysis.  $T_L$  can also help the criminal justice administrator to analyze the budgets submitted by agencies or agency subdivisions seeking funding to ascertain whether or not excessive "fat" has been included. For example, in the case of the project cited above, if the psychologists had been budgeted for half of the project, the criminal justice administrator could question whether such an allocation was necessary.

c. Both of the above applications of  $T_L$  underscore the need to require CPA's to be developed for all the major elements being considered for implementation. Having CPA's can provide the criminal justice administrator with a valuable tool to use in both organizing and budgetary "control." In the next Episode of the Case Study, the use of  $T_L$  as a budget analysis tool will be employed.



## LECTURE NOTES

### CASE STUDY EPISODE SEVEN

#### A. Introduction

The purpose of this Episode is for participants to apply Latest Allowable Time ( $T_L$ ) as a budget analysis tool.

#### B. Administration

1. Pass out Episode Seven materials.
2. Ask participants to read the instructions for the Episode.
3. Ask for and respond to questions concerning the instructions.
4. Following responses to questions, the work groups should adjourn and complete the exercise as instructed.
5. Upon conclusion, pass out the solution sheet which follows the Episode material.

Key Points and Comments
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CASE STUDY

EPISODE SEVEN

Latest Allowable Time and Cutback Management

Objective:

At the completion of this Episode, participants should be able to apply Latest Allowable Time ( $T_L$ ) in analyzing a budget.

EPISODE SEVEN:

INSTRUCTIONS

Please read the following documents. Using the information provided in them, calculate the amount of funds that can be "saved" in the Community-based Treatment Facility for use elsewhere in the Program. (Please Note: For ease in calculations, assume that one year = 50 weeks.)

Please write your answers on the poster paper provided, indicating savings on a line-item basis.

# Payneless County

PAYNELESS COUNTY  
CRIMINAL JUSTICE PLANNING AGENCY  
313 COURTHOUSE SQUARE  
GOTHAM CITY, MISERY 00007

VIRGIL VOYLES  
DIRECTOR

June 7, 1980

TO: Rod Brayton  
FROM: Virgil Voyles  
TOPIC: Shifting funds in the Downtown Business District Program

As you are well aware, the spiraling cost of fuel and petroleum products is creating havoc with our budget projections for this Program. If I recall correctly, there was some "fat" in some elements. Could you please take a close look at the Community-based Treatment Facility project you are monitoring to determine if we can identify funds that can be used to make up cost deficits elsewhere in the program caused by inflationary pressures such as the ones mentioned above? I have attached a modified line-item budget for this project. I note that many items are budgeted for the whole year, when obviously expenditures shouldn't be made for the entire period.

Please address the matter as quickly as possible, and by all means have the project director informed if you transfer any monies.

Community-based Treatment Facility

<u>CATEGORY</u>	<u>AMOUNT</u>
I. Personnel	
A. Director (\$25,000/yr)	\$ 25,000
B. Counselors (12 @ \$16,000/yr)	192,000
C. Custodians (2 @ \$10,000/yr)	20,000
D. Fringe-benefits @ 10%	<u>23,700</u>
Subtotal	\$260,700
II. Facilities	
A. Rent on facility (12 months @ \$1,000/mo)	\$ 12,000
B. Furnishings	10,000
C. Utilities (12 months @ \$400/mo)	<u>4,800</u>
	\$ 26,800
Subtotal	
III. Supplies, Equipment, Clothing, etc.	
A. Supplies	\$ 5,000
B. Equipment	7,500
C. Clothing for residents	<u>10,000</u>
Subtotal	\$ 22,500
TOTAL COST	<u><u>\$310,000</u></u>

EPISODE SEVEN: DE-BRIEFING NOTES;

The correct solution for this exercise is shown on the next page. Have a spokesperson for each group present that group's solution to the problem, providing members of the other groups an opportunity to question the spokesperson regarding how a certain line item was determined. If errors are not identified, the facilitator should critique using the solution shown on page CS 7-5.



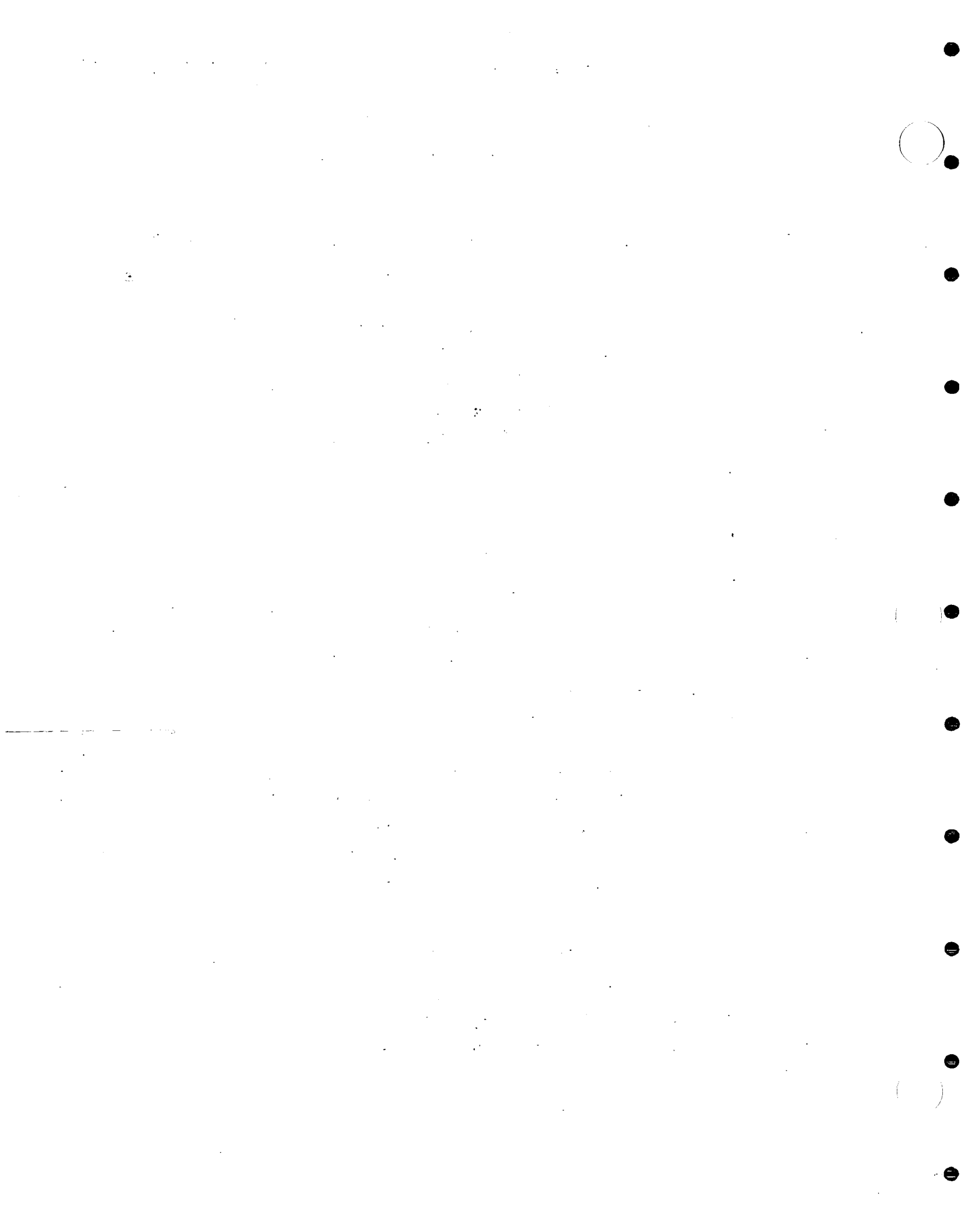


SOLUTION

Latest Allowable Time and Cutback Management

The correct answers, by line-item, are as follows:

<u>Category</u>	<u>Amount to be Saved</u>
I. Personnel	
A. Director (3 weeks can be saved)	
$3/50 = 6\% \times \$25,000 =$	\$ 1,500
B. Counselor (21 weeks can be saved)	
$21/50 = 42\% \times \$192,000 =$	80,640
C. Custodians (26 weeks can be saved)	
$26/50 = 52\% \times \$20,000 =$	10,400
D. Fringe Benefits @ 10%:	
$A + B + C = \$92,540 \times 10\% =$	<u>9,254</u>
Subtotal	\$101,794
II. Facilities	
A. Rent on Facility (20 weeks can be saved)	
$20/50 = 40\% \times \$12,000 =$	4,800
C. Utilities (20 weeks can be saved)	
$20/50 = 40\% \times \$4,800 =$	<u>1,920</u>
Subtotal	\$ 6,720
TOTAL POSSIBLE SAVINGS	<u><u>\$108,514</u></u>



D. Application of Organizing Techniques to the  
Three Roles of the Criminal Justice  
Administrator

1. Director of the Organizational Unit

As directors of organizational units, criminal justice administrators can and should require that action plans, PERT and CPA charts (if needed) be developed for all the major strategic elements to be implemented by their units. These tools will greatly assist the administrators and their subordinates in achieving the most organized utilization of their resources. As a group, they represent the "implementation plan" shown in Step 12, Decision Point 5. The criminal justice administrators should therefore take steps to insure their completeness, either through delegation or by doing the task themselves.

2. Manager of Programs

In attempting to create in agencies administering projects in their program area the capacity to successfully implement those projects, criminal justice administrators should attempt to insure that the agencies in question go through a process similar to the action plan - PERT - CPA cycle described above. Program managers might want to require grant applications to include these steps as part of the implementation plan as a means of exerting influence in this crucial area prior to project implementation.

3. Leader in the Criminal Justice System

As a leader in the criminal justice system, the above techniques can be useful to a criminal justice administrator in advising those

## LECTURE NOTES

Key Points and Comments

agencies which request the administrator's technical assistance in this area. The process can also serve as an organizational tool for the administrator's own leadership activities. For example, in implementing a strategy to advocate more state funds for crime prevention programs, the criminal justice administrator might determine that the "critical path" is the six-month sequence beginning with the introduction of the appropriations bill and ending with the vote on the bill. Accordingly, all of the administrator's activities should be organized to take place during that time frame. If consideration of the bill is delayed to a special legislative session, then the administrator should "reorganize" accordingly.

### E. Conclusion

The use of the organizing techniques described above can be of tremendous assistance to the criminal justice administrator in each of the three roles in insuring the timely and rational allocation of resources. They are valuable in establishing the needed framework to achieve the objectives established during planning. In addition, the process described above helps create a framework to facilitate the successful completion of controlling, the third management responsibility, which will be discussed in the next Module.

This Module has addressed organizing techniques, and has avoided a discussion of organizational structure. Discussion of organizational structure issues such as the merits of flat vs. hierarchical have been omitted for the simple reason

## LECTURE NOTES

Key Points and Comments

that few public agencies have the luxury of experimenting with structures other than hierarchical. Participants should be reminded, however, that to the greatest extent possible, their organizational structure, hierarchical or otherwise, should be dictated by the objectives they are to pursue.

### IV. CONCLUSION

The following are the major points that should be reiterated by the instructor(s) during the summation for this Module:

- A. Organizing is not the same as organization.
- B. Four basic concepts must be addressed in successfully organizing:
  - 1. Responsibility
  - 2. Authority
  - 3. Delegation
  - 4. Accountability
- C. The "action plan" is a useful tool that enables the criminal justice administrator to incorporate these four basic concepts in performing the organizing responsibility.
- D. PERT and CPA are two additional organizing tools that can be extremely valuable to a criminal justice administrator. CPA can also be used as a basis for calculating the "slack" or leeway in implementing an element.
- E. The three management responsibilities performed by criminal justice administrators -- planning, organizing and controlling -- all overlap and are interrelated. Organizing builds upon processes in planning and sets the stage for controlling.

### MODULE THREE TEXT

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

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

### Annotated Bibliography

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

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

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

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

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

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

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

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

Annotated Bibliography  
(continued)

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

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

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

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



## Resource Bibliography

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



MODULE FOUR

CONTROLLING



## MODULE FOUR

### CONTROLLING

#### Module Overview

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

#### Learning Objectives

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

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

#### Description

This Module consists of:

1. Lecture
2. Desk exercise

**DETERMINE PRESENT SITUATION (INTERNAL/EXTERNAL VARIABLES)**



## LECTURE NOTES

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

#### A. Relationship to Planning and Organizing

Controlling has been defined as insuring that the objectives established during planning are achieved to the greatest extent possible. In many respects, controlling is the most difficult of the three management responsibilities for the criminal justice administrator to perform. This is especially true in the roles of program manager and leader in the criminal justice system, where the administrator may be handicapped by such factors as limited evaluation staff, wide geographic dispersion of projects, lack of clear-cut authority, and so forth. Successfully accomplishing the control responsibility thus becomes one of the greatest challenges confronting the criminal justice administrator. As has been pointed out earlier in the course, none of the management responsibilities exists in a vacuum. The following discussion of controlling will re-emphasize this fact again and again. It will become obvious that the manner in which planning and organizing have been conducted will determine to a great extent how successfully the criminal justice administrator can perform the control responsibility. It will likewise be obvious that by properly carrying out the control responsibility, the criminal justice administrator can obtain information invaluable in making necessary adjustments in present organizational frameworks to better pursue established objectives and to more realistically plan for the future.

#### Key Points and Comments

Step 5, Decision  
Point 12 on the  
Management Process  
Chart.

## LECTURE NOTES

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

In performing the control responsibility in the three roles as director of an organizational unit, manager of programs and leader in the criminal justice system, the criminal justice administrator is involved in the control process in two distinct capacities. The first is as a manager of the control process itself. The second is actually as a control "agent". The former capacity is primarily concerned with the steps to be taken to insure that the control responsibility is properly conducted within the organizational unit and program area; for example, taking the steps necessary to allocate sufficient organizational resources to monitor, evaluate and intervene in important projects. The latter capacity, that of control agent, is primarily concerned with the manner in which the criminal justice administrator "controls" subordinates as director of an organizational unit. Prior to embarking upon an examination of how the criminal justice administrator can best perform in these two capacities, the types of controls available for use in these capacities should be identified. A description of them is given in the next segment of this Module.

#### II. TYPES OF CONTROLS

##### A. First-Category Controls

First-category controls are the conditions established during the planning and organizing phases that establish the "boundaries" within which the organization or program will operate. Often these are not viewed as controls in the strictest sense by criminal justice administrators, but their potential influence on the overall control responsibility is quite powerful.

#### Key Points and Comments

*The concept of first- and second-category controls is contained in the "Essentials of Management" Course, copyright © 1977 by the American Management Associations.*



## LECTURE NOTES

Examples of some first-category controls inherent in the planning and organizing responsibilities described earlier in the course are presented below.

### 1. Planning Controls

The most powerful first-category control developed during the planning phase is the objective. More than any other control, the objective serves as the boundary in determining how resources will be allocated. In many respects, the objective represents the "bottom line" in evaluating organizational, program or individual efforts. It is the central control upon which all the other controls are built. The objective becomes the "product control" from which the remaining "process controls" derive their relevance. The other important first-category control developed during the planning phase is the budget, which established the financial "boundaries" of the organization or program. The budget should serve as an on-going control in providing for the responsible allocation of resources to achieve objectives.

### 2. Organizing Controls

The organizing techniques introduced in the previous Module--action plans, PERT, and CPA-- are useful as both first- and second-category controls. As first-category controls, they too establish boundaries by specifying the time and sequential relationships that should exist between the activities implemented to achieve objectives. They represent powerful tools in assisting the criminal justice administrator to control how and when those available resources are used.

### Key Points and Comments

Re-emphasize the importance of the objective. It was the key to organizing; now it becomes crucial to the control process.

Objective = Bottom Line

B. Second-Category Controls

Second-category controls are the measures used to determine how close to the "boundaries" established during planning and organizing the organization, program or individual has come. Second-category controls are probably much more recognizable to criminal justice administrators. These controls are usually in the form of reports that describe both work in progress and completed work. In developing second-category controls, the criminal justice administrator should take steps to insure that these controls have three basic characteristics. Second-category controls should be:

1. Timely
2. Economical
3. Comprehensive

A timely control simply gives the program manager information soon enough to take corrective action. For example, in the last Module an example was discussed of determining the critical path in a community-based juvenile treatment facility. As you may recall, we determined that the most important sequence, or the critical path, was the one involving the process of obtaining a structure to house the facility. The Critical Path Analysis would serve as a timely control if it alerted the criminal justice administrator that this process was going to take longer than planned in time to avoid hiring staff members who would have nowhere to work!

An economical control is one that does not cost more to administer than the value of the information it provides. Given the limited resources prevalent in most criminal justice agencies, economical also

## LECTURE NOTES

implies that the control is cost-effective in comparison with other alternative controls which could be used to provide information about the area in question. For example, hiring three additional monitors to track the participants in a study release project to determine whether or not they become recidivists may not be as economical a control as simply having one staff member periodically make an inquiry through the National Crime Information Center computer to determine whether or not any participants had been arrested.

A comprehensive control gives the criminal justice administrator as complete a picture as possible of the topic of interest. In determining how comprehensive the control should be, the criminal justice administrator must, of course, consider the factors of timelessness and economy. Unlike the "product" orientation of the first-category control objective, second-category controls are concerned with the controlling of the "process" by which strategies are implemented.

### C. Summary

The above discussion of the types of control was provided to set the stage for discussing the involvement of the criminal justice administrator in the capacities of manager of the control responsibility. One of the essential components of the criminal justice administrator's control responsibility is insuring that a sound plan is developed that will specify how activities, programs, etc. will be evaluated and/or monitored. This plan should be developed prior to

### Key Points and Comments

*First-category controls = product controls.*

*Second-category controls = process controls.*

## LECTURE NOTES

Key Points and Comments
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the implementation of the activities or programs in question to insure that the criminal justice administrator can properly exercise managerial control. In the following segments of this Module the types and characteristics of information that should be included in such a plan are discussed as well as how they can be used by the criminal justice administrator. As has been the case in previous Modules, the first role addressed is that of Manager of Programs because of the existence of more established techniques for performing this activity in the context of the criminal justice system. Completion of an acceptable evaluation plan completes Step 12, Decision Point 5 in the Management Process. Together with the implementation plan discussed in the previous Module, they provide a solid framework to embark upon the implementation effort.

### III. MANAGER OF THE CONTROL RESPONSIBILITY

As has been pointed out throughout the course, the degree of involvement of the criminal justice administrator in the actual activities involved in planning, organizing and controlling is a function of the size of the administrator's particular planning agency and the administrator's level of interest in any given activity. However, regardless of the personal level of involvement in each activity, the administrator is nonetheless the individual who is accountable for seeing that these responsibilities are accomplished. The number and kinds of control options available to the criminal justice administrator are so great that it would be impossible to describe them all given the limited time available. So the focus here is on how the criminal justice administrator can insure

## LECTURE NOTES

that the overall control process is conducted so as to contribute to optimum success in achieving organizational objectives.

### A. Manager of Programs

Evaluation is the foundation for the proper control of programs. In performing the role as manager of programs, the criminal justice administrator relies on the information generated from the evaluation function to determine the relative success in implementing strategies to achieve program objectives. This information can be used by the program manager as a basis for offering technical assistance in an effort to improve the chances that a project will be successful, as a rationale for changing the level of funding made available to a program element, as input for developing program plans for the next funding cycle, and so on. Depending on the amount of authority exercised by the program manager, the results of an evaluation might be used to intervene in an element which was being administered improperly or, due to unfortunate circumstances, had no chance of being successful.

As indicated above, it is absolutely essential for criminal justice administrators to understand that evaluation is intended to be far more than an "ex post facto" exercise designed to determine the overall success of a completed element or activity(ies). Proper evaluation consists of a continuum of well-planned functions begun prior to project or activity implementation, continuing throughout the life of the project or activity, and completed following the completion of the project or activity. The Evaluation Course offered

Key Points and Comments

## LECTURE NOTES

by the Criminal Justice Training Centers prepares planning agency officials to develop evaluation plans to perform the comprehensive evaluation functions described above. Specifically, that course prepares participants to perform three types of evaluation:

- o Monitoring
- o Process Evaluation
- o Impact Assessment

Each of these types of evaluation has an important role to play in assisting criminal justice administrators to contribute to the success of an element. All three types are designed to provide answers that are essential to the effective management of the element or activity. Visuals 4-1, 4-2 and 4-3 describe the three types and the crucial questions they are intended to answer.

As is also indicated in Visuals 4-1, 4-2 and 4-3, the three types of evaluation are closely linked to various components. For example, monitoring focuses on inputs and activities. In this context, monitoring is intended to be far more than an effort to see that the activities are occurring in compliance with the precise "letter" of the established plan. The emphasis must also be diagnostic: are the activities being conducted according to the "spirit" of the plan? Are the inputs resulting in the activities that are intended to produce the specified results? For example, are the counselors employed in a corrections project actually engaged in implementing progressive counseling activities or are they being used as de facto correctional officers a majority of the time?

Another important factor to be addressed as a com-

### Key Points and Comments

*Briefly review the three types of evaluation and the major questions answered by each. Refer to visuals 4-1, 4-2, and 4-3 as necessary during this discussion.*

# **ELEMENT MONITORING AND MOR**

## **TYPICAL QUESTIONS**

**IS ELEMENT OPERATIONAL?**

**IS IT ON SCHEDULE?**

**IS IT CONSISTENT WITH PROPOSAL?**

**DOES SCHEDULE NEED TO BE REVISED?**

**DO STANDARDS FOR STAFF/EQUIPMENT NEED  
TO BE CHANGED?**

**IS THERE EVIDENCE OF ANY SERIOUS PROBLEM  
IN ELEMENT MANAGEMENT/STAFFING?**

**IS TA NEEDED?**

**IS IT REASONABLE TO EXPECT ELEMENT  
TO BE SUCCESSFUL?**

**ARE RESOURCES BEING USED AS INTENDED?**

**ARE THEY ADEQUATE?**

**EARLIEST THAT DATA  
FOR ANSWERS LIKELY  
TO BE AVAILABLE**

**EARLY AND THROUGHOUT  
ELEMENT'S LIFE**

**FOCUS IS ON INPUTS AND ACTIVITIES**

# PROCESS EVALUATION AND MOR

## TYPICAL QUESTIONS

ARE INPUTS/ACTIVITIES SUFFICIENT TO  
PRODUCE DESIRED RESULTS?

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

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

SHOULD ELEMENT BE CONTINUED?

HOW MUCH ARE VARIOUS ELEMENT  
OPERATIONS COSTING?

EARLIEST THAT DATA  
FOR ANSWERS LIKELY  
TO BE AVAILABLE

MIDDLE OF ELEMENT LIFE

FOCUS IS ON ELEMENT RESULTS



# IMPACT ASSESSMENT AND MOR

## TYPICAL QUESTIONS TO BE ANSWERED

DID ELEMENT ACCOMPLISH OBJECTIVES?

WHAT EFFECT DID ELEMENT HAVE ON  
BROADER LE/CJ SYSTEM?

SHOULD A SIMILAR ELEMENT BE INSTI-  
TUTED ELSEWHERE?

HOW DOES ELEMENT APPROACH COMPARE  
WITH OTHER STRATEGIES?

DID ELEMENT RESULTS CONFIRM ITS  
UNDERLYING THEORY OR ADD TO THE  
BODY OF KNOWLEDGE?

SHOULD ELEMENT BE INSTITUTIONALIZED?

WHAT BENEFITS WERE RECIEVED AT WHAT COST?

## EARLIEST THAT DATA FOR ANSWERS LIKELY TO BE AVAILABLE

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

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FOCUS IS ON ELEMENT OUTCOMES

## LECTURE NOTES

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ponent of the monitoring process is the role of "environmental variables". As was discussed in the Situation Analysis segment of the Planning Module, criminal justice administrators must monitor those factors in the "environment" of their agencies, activities and programs that can impact their chances of success, although those factors may be beyond their direct control. For example, in the case of the corrections counseling project mentioned above, a riot may have occurred in the institution in which the project is being implemented shortly after the project began. The bitterness and fear produced by the riot conceivably may have completely destroyed the support the institutional staff might offer in any treatment effort. Consequently, for reasons totally beyond the control of the criminal justice administrator, the success of the project has been seriously endangered. Accordingly, criminal justice administrators should take steps to insure that monitoring addresses the important area of environmental variables.

The remaining two types of evaluation are likewise closely tied to components of the Method of Rationales. Evaluation is linked to results; impact assessment to outcomes.

## LECTURE NOTES

In assessing the appropriateness of an evaluation plan or the outputs of an evaluation effort in one or more of the three types described above, criminal justice administrators should be guided primarily by the following criteria: does the plan, or the output of the evaluation efforts(s), provide information that is useful in decision-making? Can the outputs of monitoring be useful in correcting a defective project, or will the results be available too late to make the needed adjustments? Will the data provided by evaluation be useful in deciding whether or not an activity should be continued? Will the results of impact assessment be helpful in deciding whether or not a project should be institutionalized? In summary, criminal justice administrators must insure that the evaluation is designed to be a decision-making tool rather than an academic exercise.

Essential to the effectiveness of each of the three types of evaluation is the proper identification of "key events" and the establishment of criteria for measuring the success of those key events. Key events can occur throughout the life of a project or activity. They are the important occurrences that should take place (1) if the inputs are properly put into place to produce the intended activities, and (2) if the activities produce the intended results, and (3) if the results lead to the intended impact. An example of key events in each of these three categories is as follows: (1) In the first instance, i.e., inputs producing activities, key events in a project involving counseling for inmates could be the hiring of qualified counselors or the leasing of a facility for the project. (2) In the second instance, i.e., activities producing results, a key event in the inmate counseling project might be delivery of intended services to the

Key Points and Comments
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## LECTURE NOTES

target population. (3) In the final instance, i.e., results leading to intended impact, a key event might be the determination that the target population has a lower recidivism rate than a "control" population.

Key events should, of course, be consistent with the criterion of decision-making utility. They should provide information useful to either the proper implementation of the project or activity in question or the more long-range considerations such as whether or not the project or activity should be institutionalized. In many instances, key events are fairly obvious. In complex projects involving a myriad of inputs and activities, however, the identification of key events may not be totally self-evident. In these cases, networking can be quite helpful in the identification process. As was pointed out in the Planning Module, networking displays pictorially the "logic" of a project or activity. Examining a network can assist in identifying those points at which a group of inputs should come together to produce a specified activity, a group of specified activities should culminate in an intended result, and so on. These points are in essence key events, and analyzing the network can assist in identifying those that should be included in an evaluation effort.

### Key Points and Comments

To be truly useful to the decision-making process, key events must have established success criteria, and these success criteria must be measurable. The measurement is usually in terms of time as well as quality

# LECTURE NOTES

## Key Points and Comments

and/or quantity. For example, in the example of the key events related to the inmate counseling project, the measurements of the various key events might include the following:

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

(2) By September 30, 1981, did at least 1,000 inmates participate in individual counseling sessions as evidenced by project records?

(3) By September 30, 1981, did the institution in which the counseling project took place have fewer serious infractions than a similar institution without the project?

Establishing concrete measures such as these is essential to insuring the relevance of the evaluation of key events to the successful management of projects or activities.

In conclusion, criminal justice administrators should ask the following questions in attempting to assess the adequacy of a proposed evaluation effort:

(1) Is the type(s) of evaluation proposed -- monitoring, evaluation, impact assessment -- consistent with decision-making needs?

(2) Are the key events and measures of success identified? Are they complete?

(3) When is the information generated by the evaluation going to be available?

Answering these questions appropriately prior to evaluation implementation can save both time and effort later as well as helping to insure the utility of evaluation outputs.

## LECTURE NOTES

To the degree permitted by the size and relative expertise of the staff at their disposal, criminal justice administrators should require that an evaluation plan be established and implemented for the projects in their program area. In most planning agencies this may be unrealistic, but program managers should nonetheless strive to conduct as complete an evaluation of the major projects in their program areas as possible. Without this evaluation, their actual ability to have any meaningful impact on the projects after they are funded will be greatly limited.

The ability of criminal justice administrators to exercise influence on the various projects in their program area after they are funded is in many ways contingent upon how well they make provisions during the planning process for subsequent evaluation. The basis of the evaluation is a combination of the Method of Rationales, networking, and key event identification, which was an integral part of the planning process. This fact adds new emphasis to the need for criminal justice administrators to require that MOR, networking, and key event identification be integral requirements in the project proposals prepared in their program area.

As was indicated above, it is often impractical to perform extensive evaluations of program components. If this be the case, then PERT and CPA can possibly serve as a "shorthand" check to determine if the project is on schedule and if the sequences of events are proceeding as planned. As was the case with MOR, criminal justice administrators must require that the PERT and CPA charts are developed prior to project implementation to insure their utility as aspects of the control responsibility.

### Key Points and Comments

*Emphasize that evaluation is not done for its own sake, but as an aid to plan and organize.*

## LECTURE NOTES

One of the most unfortunate realities of managing criminal justice programs is the lack of sufficient resources to evaluate how successful they are in achieving program objectives. By providing, as well as they can, for the development and implementation of evaluation measures such as those described above, managers of programs can begin to gather the information they need to exert control over the projects in their program area. By requiring that MOR, PERT and CPA are applied in the development stages of a project, program managers can often help those who will eventually implement the project to avoid potential problems. Applying these techniques prior to implementation can expose flaws that need to be corrected in advance, thereby enabling those administering the project to avoid or correct potential problem areas.

The possible ways in which the information gained through these control processes can be used are discussed below.

- Data from Element Monitoring and Process Evaluation. The data from these two types of evaluation can be useful to the manager of programs in deciding:

- Whether or not to expand one that is working;
- How to correct a project that isn't working; or
- Whether or not to discontinue a project.

The extent to which program managers can use this information to control the project is again determined by the types of authority they can exercise in their given program areas.

### Key Points and Comments

*The degree to which program managers can intervene to correct or discontinue a project again depends on the relative authority they possess.*

## LECTURE NOTES

- Data from Impact Assessment

As is evident from the questions addressed by impact assessment shown in Visual 4-3, the focus of this type of evaluation is primarily to help the manager of programs determine questions related to future planning rather than the control of existing efforts, e.g., whether or not a certain project should be institutionalized or whether similar projects like it should be instituted elsewhere. As such, this type of evaluation is less relevant to criminal justice administrators in their efforts to control programs.

### Summary

The Evaluation Course has created a sound conceptual framework for developing a plan to generate data that can be used by managers of programs in controlling projects to the extent permitted by the power they possess in this role. The managers of programs should therefore take whatever steps they can to insure that monitoring, evaluation and impact assessment are planned for and conducted by their staffs consistent with existing resources.

### B. Director of an Organizational Unit

The directors of organizational units are without question the key figures in managing the control responsibility within their own units. They have the authority to require that the necessary preparatory steps for proper evaluation be done during the planning and organizing stages so that they can use its outputs to control their organizational units' efforts to achieve the objectives which have been established. They are the ones accountable for insuring that:

### Key Points and Comments

Display Visual 4-3 again.

Emphasize that the products of these evaluation efforts provide a feedback loop to the decision making process at several decision points.



# IMPACT ASSESSMENT AND MOR

## TYPICAL QUESTIONS TO BE ANSWERED

DID ELEMENT ACCOMPLISH OBJECTIVES?

WHAT EFFECT DID ELEMENT HAVE ON  
BROADER LE/CJ SYSTEM?

SHOULD A SIMILAR ELEMENT BE INSTI-  
TUTED ELSEWHERE?

HOW DOES ELEMENT APPROACH COMPARE  
WITH OTHER STRATEGIES?

DID ELEMENT RESULTS CONFIRM ITS  
UNDERLYING THEORY OR ADD TO THE  
BODY OF KNOWLEDGE?

SHOULD ELEMENT BE INSTITUTIONALIZED?

WHAT BENEFITS WERE RECIEVED AT WHAT COST?

## EARLIEST THAT DATA FOR ANSWERS LIKELY TO BE AVAILABLE

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

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FOCUS IS ON ELEMENT OUTCOMES

## LECTURE NOTES

### Key Points and Comments

1. The Method of Rationales, Networking and Key Event Identification are developed to the extent practical for those major elements undertaken by the organizational unit;

2. Action plans, PERT and CPA charts are developed for major unit elements; and

3. Most importantly, credibility for the process is established by their demonstrating to their staffs that they are using the outputs to actually control their efforts to achieve objectives. If they fail to do this, the two previous steps become meaningless exercises that waste limited resources.

#### 4. Summary

As the directors of organizational units, criminal justice administrators are in the enviable position of being able to exert significant authority to insure that the control process is properly managed. The degree to which they do so has a great influence on whether or not they will be effective in this role.

#### C. Leader in the Criminal Justice System

As leaders in the criminal justice system, criminal justice administrators can use the techniques applicable in their roles as managers of programs and directors of organizational units to render technical assistance to those agencies which request their assistance in attempting to better control their efforts. One of the advantages of understanding the interrelationship of the planning organizing and controlling responsibilities becomes quite evident in this regard. Most managers who complain that they are unable to control results in their organizations probably fail to do so as a result of inadequate planning and organizing. The

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request for assistance in developing controls will usually give the leader the opportunity to provide advice in all three management responsibility areas.

### D. Summary

In each of their three roles, criminal justice administrators can profit from their knowledge of the techniques used in performing the control responsibility. In their roles as manager of programs and director of an organizational unit, they are the individuals accountable for at least developing a framework in which control can be possible, including insuring that an evaluation plan is established prior to the actual implementation of a program, element or activity. And in their role as leader in the criminal justice system they can use this knowledge in rendering technical assistance to requesting agencies. Although at times they may not be able to use evaluation information to control some areas of their various roles--especially politically sensitive projects--to the extent they as professionals would like, these outputs can nonetheless serve as valuable input in making future decisions about similar programs or activities.

### IV. CONTROL AGENT

In the previous segment of this Module the ways in which a criminal justice administrator can manage or contribute to the proper management of the control responsibility were discussed. Within the context of the role as director of an organizational unit, however, the administrator does more than manage the process. For immediate subordinates, the administrator becomes

## LECTURE NOTES

the "control agent" who is accountable for the subordinates' individual job performance. This segment will discuss an approach the director of an organizational unit can use to accomplish this important task.

### A. Standards of Performance

A standard of performance is a statement of the condition(s) that will exist when a responsibility is satisfactorily completed. Standards of performance should be used by the criminal justice administrator as the basis for evaluating and "controlling" subordinates. Three distinct types of standards can potentially be used by criminal justice administrators: historical, comparative, and engineered.

1. Historical performance standards are based on past performance by the subordinates. For example, if an individual is going to be engaged in activities for a future time span similar to those performed in a previous time span, then standards for the coming period could be developed to reflect performance during that past period. The standards could reflect either a change or no change based on the historical precedent. For example, a performance standard for a comptroller might read as follows: During fiscal year 1980-81 the number of substantial budget exceptions will decrease by 10% compared to fiscal year 1979-1980.

2. Comparative performance standards are based on a comparison of the work performed by two or more subordinates performing the same tasks. This does not necessarily mean that comparative standards result in the same standards for the subordinates, however. Based on experience, other job responsibilities, ad-

### Key Points and Comments

Refer to Exhibit 4-1.

## EXHIBIT 4-1

ACTION PLAN AND STANDARDS OF PERFORMANCE

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

MANAGER: TOM JACKSON

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

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vanced training, etc., the standards for one individual might be higher or lower than for the other. For example, the job standard for a probation officer performing pre-sentence investigations who has ten years experience might require that officer to perform 25% more satisfactory investigations than an officer performing the same responsibilities who had one year of experience.

3. Engineered standards are based on the objectives established within the context of the Management Process in which the individual subordinate is going to be expected to participate during implementation.

Engineered standards of performance can be readily developed using the action plan format discussed during the previous Module on Organizing. (Refer to Exhibit 4-1). If action plans are established as recommended for the major elements being implemented to achieve organizational objectives, the important responsibilities which the director of that organizational unit should devote time to controlling are already delineated. Subordinates can be evaluated on the basis of the objective verifications in the final column which indicate whether or not the responsibility is satisfactorily completed. The "verification" column in essence serves as a standard of performance. The director also has the discretion to refine the standard to include elements such as a comparison with results achieved in the past in a similar area or a comparison with the performance of others in the organization. For example, if the "Verification" column indicates that satisfactory completion of "Responsibility" identified as "Complete three process evalua-

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### Key Points and Comments

tions of half-way houses" is simply listed as "Completed process evaluation documents," the director might wish to more clearly state the standards of performance as follows:

"By September 30, 1982, satisfactorily complete three process evaluations for half-way houses with no additional resources as compared with one half-way house process evaluation for the previous fiscal year."

The above standard indicates that the director expects this subordinate to triple the output of half-way house process evaluations during the year in question. Performance standards provide subordinates with a clear understanding of what is expected of them, and provide the director with a sound tool for appraising and controlling individual performance.

#### B. "Quantity" vs. "Quality"

One of the most difficult aspects of developing good standards of performance is insuring that the standards provide for quality as well as quantity in subordinate output. Often it is difficult to adequately define "quality" in a given task area, e.g., what are the qualities of a planner? But to the extent possible the quality factor should be considered. In the area of comparative standards the individuals covered by comparative standards are the likely ones to help identify the quality variables.

#### C. The Performance Appraisal Process

For many criminal justice administrators, the performance appraisal process is one of the most difficult assignments they undertake. Many avoid the process as much as possible, preferring to confine appraisals to a once a year performance appraisal form that is more likely than not mostly a checklist.

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But the performance appraisal process can contribute significantly to the overall success of the organization because it provides a framework in which two functions of critical importance to organizational success can be conducted:

1. The extent to which an individual is contributing to the achievement of organizational goals and objectives can be examined. This examination includes an exploration of ways in which the individual's contribution can be increased; and

2. The subordinate's "growth" is discussed in terms of job performance. For example, does performance justify an expanded role? Does the subordinate require additional training to improve present performance or to prepare for other organizational responsibilities? The appraisal process therefore provides a framework for growth for both the organization and the individual.

3. Several key points should be remembered concerning the performance appraisal process:

a. This process is ongoing. It does not occur on a quarterly, semi-annual, or annual basis. The manager must provide periodic feedback to the subordinate concerning job performance and related matters.

b. A key component of the process is the appraisal conference. Usually held once a year at the conclusion of the process by which organizational goals and objectives are established, this conference serves a two-fold purpose:

(1) First, it is a summation of all the interim decisions concerning job performance that have occurred throughout the year. This is a review. There should be no surprises for the subordinate in terms of judgments that performance has been good or bad.



## LECTURE NOTES

Key Points and Comments
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Those issues should be well known on the basis of the ongoing nature of the process.

(2) Second, the primary focus should be on the establishment of standards of performance for the coming year (or appropriate period) and the negotiation of growth opportunities for the subordinate. The subordinate should be actively involved in both facets of this endeavor. This will insure the relevance of the standards and the commitment of the subordinate.

c. Appraisal is subordinate-centered. This process should, and can be, a positive experience for the subordinate. Most people want to achieve, and the appraisal process can provide a vehicle to both enhance success and recognize it.

4. As indicated at the outset, performance appraisal is not a favorite task of many criminal justice administrators. But performing this process can be one of the most potentially rewarding activities the administrator can undertake in terms of its returns for the organization as a whole.

### V. INTERNAL CONTROLS

In the previous segments of this module the various strategies for insuring employee performance were "external" in nature. That is, the criminal justice administrator was cast in the role of "enforcer" of certain standards of performance, monitor of key events, and so on. External controls will be an ongoing reality of organizational life. External controls are not, however, necessarily the most efficient and effective way to insure employee performance. The best controls of employee performance are those employees impose upon themselves.

### Key Points and Comments

## VI. MOTIVATION AND COMMUNICATION

As the discussion unfolds it will become apparent that the traditional types of motivators -- e.g., money, power, etc. -- may not always be the most appropriate or the most inspiring for certain people. It is important to recognize this fact and realize that different people respond to different motivators.

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## LECTURE NOTES

### Key Points and Comments

*with types by this time, making a straight lecture format rather tedious.*

*Refer to the discussion of the 8 personality types in paragraph II F. of Module Two.*

A. TYPE A: THE RUGGED INDIVIDUALIST

<u>Motivators</u>	<u>How to Communicate with Types A's</u>
Ability to Do Own Thing	Acquire a thick skin; this Individual Will be Blunt
A Challenge	Be all Business, Avoiding Personal Problems or Situations
Change and Adventure	
Controlling his/her own Situation	Give this Individual the Overall Picture, Avoiding too much attention to Detail
Don't put in Environments that Involve Close, Personal Contact	Be Prepared Be Straightforward and Direct
A Feeling of at least Moving toward a Position of Power and Authority	Be to the Point; this Individual is Easily Offended

B. TYPE B: THE CORPORATE KING OR QUEENPIN

<u>Motivators</u>	<u>How to Communicate with Types B's</u>
Difficult Tasks	Be Brief
Money	Be Direct and to the Point
Plenty of Breathing Room	Hold Feet to the Fire to get Detail Work Accomplished
Praise	Place Limits on Scope of Responsibility
Public Recognition	
Room to Advance and Excel	Stroke Ego Structure this Individual's Time

C. TYPE C: THE STUDENT BODY PRESIDENT

Motivators

Constant Stimulation  
Freedom and Flexibility to Carry  
Tasks Through to Completion  
Novelty and Adventure  
Opportunity to Lead  
Praise and Public Recognition

How to Communicate with Type C's

Give Personal Reinforcement  
Is a Good Listener and Will  
Hear you Out  
Impose Structure on this Individual  
in the Form of Limits  
Likes Personal Involvement with  
Co-Workers, so Talk About Personal  
Things  
Put Down, Especially on Details  
Talk About the Big Picture

D. TYPE D: THE BENEVOLENT COUNSELOR

Motivators

Easy-going, Non-volatile, Non-  
politicized Atmosphere  
Involvement with People  
Personal Praise  
Promise of Longevity  
Public Recognition  
Stability

How to Communicate with Type D's

This Individual Takes Things Person-  
ally, so be careful with your  
criticisms  
Don't Monitor too Closely or will  
Feel Pent Up  
Wants Personal Involvement, so be  
Warm and Friendly  
Likes to Know How Things will Affect  
the People Involved  
Provide Structure to Get Task  
Accomplished  
Thrives on Flowery Praise

E. TYPE E: THE TEAM PLAYER

Motivators

Freedom and Flexibility to Establish  
Close Personal Contacts with People  
Acknowledgement from Others that they  
find This Individual's Actions Pleas-  
ing  
Moderately-paced, Low Pressure Environ-  
ment  
Promise of Longevity  
Public Recognition  
Stable Working Environment

How to Communicate with Type E's

Communicate new Ideas Slowly;  
this Individual's not Quick  
to Change  
This Individual Takes Things  
Personally, so Be Careful  
with Criticisms  
Explain How Something Will Affect  
People and Established Tradi-  
tion  
Give Constant Reinforcement  
Give Detail Explanations  
Wants Personal Involvement,  
So be Warm and Friendly

F. TYPE F: THE COMPANY PERSON

Motivators

A lot of Attention and Reinforcement  
Close Supervision  
Intricate, Detail-oriented Work  
Promise of Longevity  
Sense of Belonging to Group  
Steady Stable Work Environment,  
can be Very Upset by Sudden  
Change

How to Communicate with Type F's

Be Solicitous and Warm About  
Personal Matters  
Communicate Slowly and Deliber-  
ately  
This Individual Takes Things  
Personally, so Be Careful  
With your Criticisms  
Give Detailed Explanations  
Give Constant Feedback  
Put as Much Communication as  
Possible in Writing

G. Type G: THE PERFECTIONIST

Motivators

Ample Time to Complete a Task  
Close Supervision  
Detail Work, Involving Minimal  
Contact with Others  
Stable, Secure Working Environment  
Tasks Involving Technical Expertise  
Task-oriented, Rather than Personal  
Reinforcement

How to Communicate with Type G's

Be Precise  
Be to the Point, Avoiding Much  
Personal Involvement  
Explain Things in Detail, Covering  
Every Angle  
Make Sure you have your Facts  
Straight, Because This Person  
will Check Your Job Very Carefully  
Put as Much Communication as Pos-  
sible in Writing  
Remind this Person of the Big  
Picture

H. TYPE H: THE HARD-DRIVING SKEPTIC

Motivators

Challenging Problems  
Freedom from Supervision  
Highly Skilled, Technical Work  
Minimal Personal Involvement  
Task-Oriented Praise - Respect  
for a Job Well Done  
Time to Examine Every Detail

How to Communicate with Type H's

Be Accurate  
Be All-Business  
Be Blunt and to the Point  
Communicate with this Individual  
as little as Possible  
Give Gentle Reminders about the  
Big Picture  
Give Gentle Reminders to Extract  
a Decision  
Have Every Angle Examined Before  
Going to this Individual

## LECTURE NOTES

Even though you may be aware of the different motivators and communication techniques for different types of people, and even though you may use those motivators and communicators effectively, that does not always obviate the occurrence of stress. Indeed stress is an all too frequent phenomenon in the lives of criminal justice administrators. The next section of this Module will deal with stress and its effect.

### VII. STRESS MANAGEMENT

#### A. Introduction

The term "stress" was coined about 40 years ago by Hans Selye to mean "the body's nonspecific response to any demand placed on it." Selye further postulated that there are two types of individual responses to "stressful" situations "racehorses" and "turtles". Racehorses function well and thrive in fast-paced, vigorous environments. Turtles are more comfortable in peaceful, calm environments. Placing either type in the opposite environment can be very dysfunctional. The racehorse is as unhappy in the middle of a placid lake as the turtle is amidst a flurry of activity on Wall Street. The danger lies in mistaking your type. If you incorrectly believe yourself to be a racehorse you can push yourself beyond your limits, and if you incorrectly believe yourself to be a turtle, you will live constantly frustrated.

Although different people respond differently to the same environments, in general there are 3 major sources of stress with which people are confronted:

#### Key Points and Comments

*The instructor should relate these two types back to the 8 personality types.*



## LECTURE NOTES

Stress brought on by major changes  
Everyday environmental stressors  
Internal stressors

### B. Internal Stressors

Certainly the type of individual you are -- "racehorse" or "turtle" -- has a great deal to do with the kind of internal stressors you place on yourself. Furthermore, internal stressors can be related to various personality traits and expectations, the demands we place on ourselves, our abilities to relax, our degree of compulsiveness or anxiety, and our degree of guilt or greed. All of these factors are obviously sources of stress. They are, however, very distinct depending on the individual. What these internal stressors usually "boil down to" is an incongruence between what an individual perceives about him or herself and what other people perceive. The larger the incongruence, the more serious the problem and the greater need to sit down and reevaluate personal perceptions and goals. There is no cookbook recipe for doing this and it is often best done with the use of professional help. "Dealing with Stress Brought on By Major Changes" and "Everyday Stressors" are both more readily dealt with, and the bulk of our discussion on stressors will center around these two topics.

Key Points and Comments
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## LECTURE NOTES

### C. Stress Brought on by Major Changes

#### 1. Schedule of Recent Experiences

In 1972, Holmes and Masada developed a "Schedule of Recent Experiences", listing in rank order and quantifying events or changes in an individual's life and the amount of stress those events cause. The probability of one developing some type of health change has been found to be associated with the stressor ("life crisis") scores as reflected in the following table:

<u>12-month period stressors score</u>	<u>% suffering some sort of health change</u>
300+	79
200-299	51
150-199	37

The body is generally "at risk" of this type of change for 24 months following the crisis, with the most crucial period being 12 months following the crisis. Medical journals are replete with examples of individuals who died within one year of a major change. Indeed the highest correlation with the onset of cancer is a major change in someone's life. In other words, cancer is most likely to occur within 12 months of a major change than because of any other factor. An interesting corollary to this research is that it may be the "rate of change" rather than the actual change itself that can be so devastating.

#### Key Points and Comments

Refer participants to "The Social Re-adjustment Rating Scale" in Participants Guide. When using both the "Social Readjustment Rating Scale" and the "Questions Regarding Everyday Stressors" the Instructor should be very certain to point out that these scores and scales are reflective only of means and that wide individual variations can and do occur. A score in excess of 300 on the "Social Readjustment Rating Scale", for example, does not necessarily mean illness is imminent. This point is very important and must be stressed.

## SOCIAL READJUSTMENT RATING SCALE\*

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

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

LIFE EVENT	MEAN VALUE
21. Foreclosure on a mortgage or loan	30
22. Major change in responsibilities at work (e.g., promotion, demotion, lateral transfer)	29
23. Son or daughter leaving home (e.g., marriage, attending college, etc.)	29
24. In-law troubles	29
25. Outstanding personal achievement	28
26. Wife beginning or ceasing work outside the home	26
27. Beginning or ceasing formal schooling	26
28. Major change in living conditions (e.g., building a new home, remodeling, deterioration of home or neighborhood)	25
29. Revision of personal habits (dress, manners, associations, etc.)	24
30. Troubles with the boss	23
31. Major change in working hours or conditions	20
32. Change in residence	20
33. Changing to a new school	20
34. Major change in usual type and/or amount of recreation	19
35. Major change in church activities (e.g., a lot more or a lot less than usual)	19
36. Major change in social activities (e.g., clubs, dancing, movies, visiting, etc.)	18
37. Taking on a mortgage or loan less than \$10,000 (e.g., purchasing a car, TV, freezer, etc.)	17
38. Major change in sleeping habits (a lot more or a lot less sleep, or change in part of day when asleep)	16
39. Major change in number of family get-togethers (e.g., a lot more or a lot less than usual)	15
40. Major change in eating habits (a lot more or a lot less food intake, or very different meal hours or surroundings)	15
41. Vacation	13
42. Christmas	12

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LIFE EVENTS

MEAN VALUE

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43. Minor violations of the law (e.g., traffic tickets,  
jaywalking, disturbing the peace, etc.)

11

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Thomas H. Holmes, M.D.  
Department of Psychiatry and Behavioral Sciences  
University of Washington School of Medicine  
Seattle, Washington 98195

## LECTURE NOTES

Key Points and Comments
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### 2. Coping with Major Changes

Elizabeth Kubler-Ross has done extensive research on how people react to the news that they are dying. There are five stages which people go through in this instance.

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

These five stages can be applied generally to anybody who undergoes a major change in their life. For example, suppose a correctional officer is informed that the way he or she treats inmates is inappropriate and out of date, and therefore some training in human relations skills is indicated. People are no longer relying on harsh punitive measures to deal with inmates, but rather a constellation of more sophisticated behavioral techniques.

Denial - Generally, that officer will initially react with denial. "My way has worked for 15 years; you don't know what you're talking about."

Anger - Next, he/she might become angry and argue that you do not know what you are talking about.

Bargaining - Next, the officer may plead or bargain with you: e.g., offer to keep the cell block cleaner if you do not impose the training.

Depression - Following bargaining, the officer will probably be depressed for a period of time over the whole situation.

## LECTURE NOTES

Acceptance - Finally, if the administrator sticks to the initial training plan, the officer will acknowledge that maybe he or she is a bit too harsh and could learn a little something from the training.

### 3. Response of Criminal Justice Administrator to Employees Undergoing Changes

There are two things that the administrator can do when an employee is undergoing a major change.

a. First, be sensitive to any changes employees face. Be aware they are undergoing them, be aware of the intensity of the change and act accordingly. Do not place additional stress on an employee who just lost a close relative. Certainly different employees react differently and with varying levels of intensity to a change, but major changes affect everyone regardless of whether they show it or not. Consequently, an administrator should be aware enough of what is going on in an employee's life not to place additional stressors on someone who is carrying an already heavy burden.

b. Second, understand and deal with each of the five stages as they occur. Obviously, a person should be treated differently during the different stages. It would certainly be counter-productive to lash out at someone in the anger stage or to try to suppress their emotions. A passive response would probably be the most adaptive at this point. Individuals will go through these stages, often for different lengths of time, depending on the person and the circumstances, but nonetheless they will experience these stages regardless of how you as an administrator respond. Certainly, it would be more productive to respond appropriately at each stage rather than risk employee

Key Points and Comments
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## LECTURE NOTES

### Key Points and Comments

alienation by an inappropriate response.

#### 4. The Criminal Justice Administrator and Stress from Major Changes

Administrators themselves naturally face these changes. When this happens, they need to be aware of the stress and its source and follow the same rules for themselves as for their employees, namely:

a. Do not put additional stressors on yourself; and

b. Be aware of the 5 stages as you go through them.

#### D. Everyday Stressors

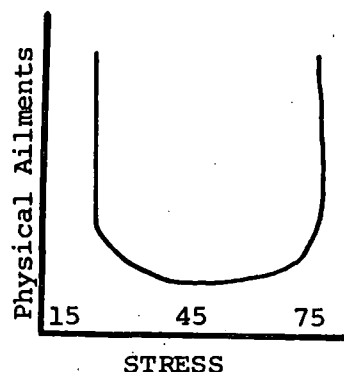
Major changes are not the only source of stress in an administrator's life. There are also everyday situations or problems that cause stress. Clinton G. Weiman\* reported in 1977 on a study of 1,540 officers in large financial institutions and their reaction to stress. These individuals were given extensive medical physicals and then asked to rate on a scale of 1 to 5 the questions found in your Participants Guide, where 5 = nearly all the time and 1 = never.

##### 1. Results of Study

The study found two different tendencies.

a. In people with high levels stress, there was a significantly greater incidence of serious health problems than in other people in the study. These problems included hypertriglyceridemia, essential hypertension, arteriosclerotic heart disease, hypercholesterolemia, exogenous obesity, duodenal ulcers, and heavy smoking.

Refer participants to "Questions Regarding Everyday Stressors," Exhibit 4-3.



\*Weiman, C. G. "A Study of Occupational Stressors and the Incidence of Disease/Risk," Journal of Occupational Medicine, 19:2, 1977, 119-122.



## QUESTIONS REGARDING EVERYDAY STRESSORS

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

## LECTURE NOTES

Key Points and Comments
<p>The instructor may want to draw this on a blackboard.</p>

b. In people with very low levels of stress (15-25) there was a significantly greater level of serious ailments than in all other groups in the study except for those with very highest levels (60-75).

c. The results thus resembled a U-shaped curve, where very high and very low levels of stress cause problems.

### 2. Interpreting the Results

In essence, what this means is that a modicum of stress is not bad, indeed it is good. Stress is an everyday phenomenon, without which we become bored, and may even develop health problems. However, too much stress can cause even more serious problems than too little.

### 3. Dealing with Everyday Stressors as a Criminal Justice Administrator

Obviously we cannot, nor would we want to, eliminate stress entirely from our lives. However, as an administrator you should:

a. Be aware of the level of everyday stressors on you and your subordinates. Monitor yourself and subordinates; and

b. Do not put additional stressors on yourself or your subordinates when you or they are already faced with enough stressors.

### E. Early Warning Signals of Stress

While people who are faced with major or minor levels of stress may develop serious physical ailments, these ailments do not usually come out "full blown" overnight. There are generally some signs or early warning signals that can alert an individual or those around an individual that that person may be experiencing periods

## LECTURE NOTES

of heavy stress. These signals include:\*

- General irritability
- Increased heart rate
- Dryness of throat or mouth
- Impulsive behavior
- Emotional instability
- Tendency to vacillate in making decisions
- Inability to concentrate
- Accident proneness
- Tendency to overemphasize trifles
- Tendency to misjudge people
- Feelings of persecution
- Forgetfulness
- Decrease in sex drive
- Fatigue
- Vague feelings of dissatisfaction
- Insomnia
- Excessive Sweating
- Frequent need to urinate
- Migraine headaches
- Loss of appetite or excessive appetite
- Missed menstrual cycles
- Premenstrual tension
- Pain in lower back or neck
- Trembling or nervous tics
- Increased smoking

\*Douglass, M.E. and Douglass, D.N. Manage Your Time, Manage Your Work, Manage Yourself, AMACOM, 1980

## LECTURE NOTES

Key Points and Comments
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Naturally, not everybody develops all of these symptoms, but usually people do develop one or more of them. Individuals need to be aware of the symptoms they usually develop and be on the lookout for these signs.

Perhaps the broadest clue that stress is building is change in an individual's behavior. Under stress people will first behave more like themselves (quiet person becomes silent). Then, if such coping doesn't work, they will try less favored behavior (quiet person becomes loud!). This is evidence that the stress is becoming more severe and coping more desperate.

Your task with yourself or your subordinates is to make judgments about when to reduce or increase demands, draw someone aside to let them "blow steam", even to decide when to suggest someone see a professional (physician is often a good place to start) if behavior indicates excessive stress.

### CASE STUDY EPISODE EIGHT

#### A. Introduction

The objective of this desk exercise is for participants to identify some strategies that they can use to cope with stress in the workaday environment. This Episode is presented as a wrap-up to the actual discussion of stress which preceded it. The Episode also brings the Case Study to a logical conclusion.

#### B. Administration

1. After presenting the introduction, pass out the materials needed to complete Episode Eight.
2. Instruct the participants to read the instructions provided.
3. Call for and respond to questions concerning the instructions.

CASE STUDY

EPISODE EIGHT

Coping with Stress as a Criminal Justice Administrator

or

"There Ain't No Such Thing as a Free Lunch"

Objective:

At the completion of Episode Eight, participants should be able to outline certain "coping strategies" they can use in dealing with stress in their everyday lives.

EPISODE EIGHT:

INSTRUCTIONS

This final episode describes several potentially "stress producing" situations for Virgil Voyles. Each of you has no doubt encountered stress producing situations in your positions as criminal justice administrators. Please read the attached letters and develop a list of 3 coping mechanisms you would use if faced with a similar kind of problem. In other words, what actions would you take, job-related or otherwise, to deal with this type of situation?

Use the Participant Response Sheet that is included with this material to record your answers.

PARTICIPANT RESPONSE SHEET

Strategies for Dealing with Stress:

1.

2.

3.

# Payneless County

PAYNELESS COUNTY  
100 COUNTY BUILDING  
GOTHAM CITY, MISERY 00007

FRED NICOLAISON,  
COUNTY MANAGER

June 15, 1980

Mr. Virgil Voyles, Director  
Payneless County Criminal  
Justice Planning Agency  
313 Courthouse Square  
Gotham City, Misery 00007

Dear Virgil:

The main efforts of the Payneless County Criminal Justice Planning Agency have been channeled into attacking the problems of crime in the downtown business district. A substantial investment of both time and money has been made in this area. Not only is the Planning Agency committed to addressing this problem, but so is the entire Payneless County government. The citizenry have looked to government officials in general and the Planning Agency in particular for leadership along these lines. At the outset of this effort I, as County Manager, felt confident in placing my trust in you as the leader of this effort. Now I am not so sure that that faith was justified.

A growing number of complaints have come to my attention concerning the operation of several components of this project. One component, the community-based treatment facility, has received the sharpest amount of criticism. Members of the Planning Board, local criminal justice personnel, and local citizenry have all raised questions concerning the progress that is being made in getting the treatment facility off the ground. A major problem of fiscal irresponsibility has surfaced in the regard. Treatment staff were hired by the project manager. These individuals started work, but when it came time for them to receive their first paychecks, there was no money available to pay them. Apparently, funds that had been originally allocated for personnel had been diverted for other uses. The project manager was not made aware of this fact and, thus, proceeded to function under the original plan. This lack of communication coupled with fiscal mismanagement is inexcusable.



Mr. Virgil Voyles

Page Two

June 15, 1980

This situation must be rectified immediately. I expect a response from you before the week is out detailing 1) how this situation occurred, and 2) what you intend to do about it. I hold you personally responsible for the problem, and expect immediate positive action on your part to set it right.

Sincerely,

Fred Nicolaison

# Payneless County

PAYNELESS COUNTY  
CRIMINAL JUSTICE PLANNING AGENCY  
313 COURTHOUSE SQUARE  
GOTHAM CITY, MISERY 00007

VIRGIL VOYLES  
DIRECTOR

June 16, 1980

Mr. Rod Brayton  
Payneless County Criminal  
Justice Planning Agency  
313 Courthouse Square  
Gotham City, Misery 00007 00007

Dear Rod:

After serious deliberation and with great regret, I feel compelled to dismiss you from your position in the Payneless County Criminal Justice Planning Agency. When I assumed the position of Director of the Agency, there was some question as to the function of your division centering around the issue of programmatic evaluation vs. monitoring. We have spent a great deal of time and energy discussing this issue, and both sides of the debate are well known to all the parties concerned.

Several months ago, the Advisory Board to the Planning Agency made the decision to focus the majority of its time and money on the issue of rising crime in the downtown business district. One of the crucial projects in this effort is the community-based alternative treatment program for juveniles. Because of the crucial nature of this project, you were assigned to closely watch its progress. We discussed this several times. Furthermore, in my letter to you dated April, 15, 1980 I clearly spelled out the importance of the project and why you were assigned to monitor it. Finally, during your recent performance appraisal we discussed in great detail the steps involved in the monitoring process and how you could improve your skills in this area.

Due to fiscal restraints you, with my approval, made the decision to change the time for hiring the project personnel. It was your responsibility to inform the project manager of this decision. That responsibility is clearly spelled out in my April 15 letter and has been reiterated in our discussions, including the discussion centering around your recent performance appraisal. Your negligence in not informing the project manager of the major change in the personnel budget has resulted in individuals not being paid for their work, a resultant noticeable reduction in staff morale, and a general lack of community trust in our efforts.

Mr. Rod Brayton  
June 16, 1980  
Page Two

The County Personnel Guidelines clearly state that once an employee has been warned orally and in writing about deficiencies in certain job responsibilities and still fails to fulfill them, then that person's supervisor is well within his or her rights to dismiss that employee. As your supervisor I have gone well beyond both the letter and spirit of the law, and have no choice other than to ask for your resignation effective July 1, 1980.

Sincerely,

Virgil Voyles

LAW OFFICES OF COHEN, SHAPIRO, LOWENSTEIN AND WILSON

Marvin W. Cohen  
Leonard A. Shapiro  
Alfred E. Lowenstein  
Gerald R. Wilson  
Elizabeth A. Hanford  
Albert R. Glick  
George F. Rogers

1902 Courthouse Square  
Gotham City, Misery  
00007

June 20, 1980

Mr. Virgil Voyles, Director  
Payneless County Criminal  
Justice Planning Agency  
313 Courthouse Square  
Gotham City, Misery 00007

Dear Mr. Voyles:

I am writing you as legal counsel for Mr. Rod Brayton whom you have recently dismissed from your employ. This letter is to inform you that Mr. Brayton, under Section 50027 of the County Personnel Code, will be suing you for re-instatement. Mr. Brayton will be requesting not only re-instatement, but also fair and due consideration for the mental anguish he has suffered at your hands during your tenure as Director of the Payneless County Criminal Justice Planning Agency. You will receive official notification of the suit within the next several days.

Sincerely,

Marvin W. Cohen, Esq.

## EPISODE EIGHT: DE-BRIEFING NOTES

The instructor should solicit individual responses from the participants and write them on poster paper in the front of the room. The instructor should attempt to relate the different coping strategies of the participants to one another, and lead a discussion on the utility of the strategies that are identified. NOTE: The instructor need not critique participants' responses at this point. There are no "right" or "wrong" answers as to what constitute coping mechanisms for the population as a whole. As will be brought out in the following discussion, workable mechanisms for one person may not be suitable for another. However, as a very general guide, the instructor may wish to refer to the following list of techniques for alleviating stress to determine if participants are "on the right track" in grasping the sense of the exercise\*:

- Developing a different attitude
- Getting a checkup
- Getting adequate rest
- Watching your diet
- Exercising
- Relaxation exercises
- Meditating
- Changing your reaction patterns
- Adapting realistically to your environment
- Listening to music
- Taking a break
- Expressing your anger
- Taking a vacation
- Talking it out
- Slowing down
- Doing something for others

\* Douglass, M.E. and Douglass, D.N., Manage Your Time, Manage Your Work, Manage Yourself. AMACOM 1980

Following the 20 minutes allotted for the de-briefing, the instructor should conclude the lecture by explaining that stress affects everyone differently. What may be quite stressful for one person may not prove stressful at all for someone else. Different people also have developed different strategies for coping with stress, some of which may be quite successful for certain individuals and entirely ineffective for others. The important thing is for people to be aware of the strategies that work for them in different situations and use those strategies when necessary.

One strategy that has been found to be quite useful by a number of people for reducing stress is effective time management. This will be discussed in greater detail in the next segment of this module.

## LECTURE NOTES

### VIII. MANAGING TIME TO REDUCE STRESS

The most precious resource criminal justice administrators have is their time. The inability to control time is also a great source of stress for most criminal justice administrators. Obviously, the requirements of the three roles criminal justice administrators play can be so vast that they can't possibly perform each role as thoroughly as they would like. Consequently, criminal justice administrators must make decisions about how they allocate their time. The following segment presents an approach for making these decisions.

#### A. Some Basic Principles of Time Management

Four basic principles of time management can be of great assistance to criminal justice administrators in insuring that they make the most appropriate use of their time.

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

#### B. Application to Individual Roles of Criminal Justice Administrator

Criminal justice administrators should apply the four principles of time management to their roles as follows:

1. Make a combined list of the objectives of all three roles
2. Prioritize these objectives

Key Points and  
Comments

## LECTURE NOTES

One system for prioritizing is as follows:

A = Those objectives that are most important to achieve

B = Those objectives of medium importance

C = Those objectives of least importance

### 3. Delegate when possible

A criminal justice administrator's time is too valuable to waste doing tasks someone else can perform. If activities involved with a certain objective can be performed just as well by a subordinate, those activities should be delegated to that subordinate. Criminal justice administrators should try to reserve the "A" activities for themselves and delegate the "B's" and "C's". Many administrators waste valuable time attempting to control activities that they have delegated. A useful, time-saving technique in this respect is "control by exception." This technique is very simple: once a responsibility has been delegated, the individual accountable reports to the criminal justice administrator only if something goes wrong. Otherwise, criminal justice administrators devote their time to other more pressing matters.

### 4. Allocate time according to remaining priorities.

Once the first three steps are completed, criminal justice administrators then proceed to allocate their time among the remaining priorities. Again, they should begin with "A's" and end with "C's". They should re-examine their list periodically. From time to time, priorities change and administrators should adjust their time allocation accordingly.

Key Points and Comments



## LECTURE NOTES

### Key Points and Comments

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

The process above yields a role "mix", i.e., it selects those aspects of each role which will combine to fill the time of the criminal justice administrator. Depending on the individual administrator, this mix will probably reflect dominance of either the role of director of an organizational unit or manager of programs. The leadership role will generally be of secondary importance.

#### IX. ANALYZING POTENTIAL ROLE IMPACTS: DISTINGUISHING PROCESS FROM PRODUCT

In analyzing the potential impact they might expect to have in each of their roles, criminal justice administrators should be aware of the possible relationships between successful and unsuccessful leadership and effective and ineffective leadership.

##### A. Successful Leadership vs. Unsuccessful Leadership

When a criminal justice administrator attempts to influence an individual or group to pursue the course(s) of action the administrator advocates, one of two things can happen:

- The individual or group adopts the administrator's course(s), or
- The individual or group rejects the administrator's course.

The former example is effective leadership; the latter is ineffective.

##### B. Effective Leadership vs. Ineffective Leadership

## LECTURE NOTES

### Key Points and Comments

When leadership is successful, two outcomes are possible:

- The adopted course(s) of action will result in achievement of the desired objective(s), or
- The adopted courses of action will not result in achievement of the desired objective(s).

The former example is effective leadership; the latter is ineffective.

In acting as a change agent within the criminal justice system, the criminal justice administrator must to a degree act as a leader--i.e., gain and exercise achieved power--in each of the roles. The administrator must attempt to achieve both successful and effective leadership to insure on-going success. A preponderance of unsuccessful and ineffective leadership will undermine that administrator's credibility.

#### X. MODULE CONCLUSION

A. Controlling is the final effort the criminal justice administrator makes to attempt to convert the concept created in planning to an operational reality. As has been noted, the absence of clearly-defined authority can often hinder the administrator's ability to fulfill this responsibility in the roles as manager of programs and leader in the criminal justice system. However, understanding how the control techniques described can be used can contribute to the administrator's achievement of the greatest success possible in accomplishing this difficult task.

Through the discussion of the three management responsibilities of planning, organizing and controlling, it has been emphasized that none of the three

## LECTURE NOTES

Key Points and Comments
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exists in a vacuum. They all are interrelated and impact one another. Similarly, the criminal justice administrator does not perform these three roles within the criminal justice system in a vacuum. The administrator is an actor in a very dynamic environment which often has a profound impact on the ability to perform the management responsibilities required to best achieve organizational objectives. In the final module techniques for greater organizational and individual development will be discussed which can assist criminal justice administrators in gaining greater success in their efforts to perform the three roles.

B. The following are key points the instructor should re-emphasize in summarizing the important concepts and techniques presented in Module V:

1. Controlling is probably the most difficult management responsibility for a criminal justice administrator to perform, especially in the role of manager of programs and leader in the criminal justice system.

2. There are two basic types of controls:

- a. First-category controls which specify control "boundaries" for agency or program activities.

- b. Second-category controls, more recognizable to most criminal justice administrators, which are usually reports indicating the status of work in progress or completed work.

3. Evaluation is a key in effective controlling.

4. Evaluation must go beyond compliance with established plans; it must also be diagnostic and be useful in determining when and where changes are needed.

## LECTURE NOTES

Key Points and Comments
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5. Three types of evaluation can be used by criminal justice administrators depending on their information requirements and evaluation resources:

- a. Monitoring
- b. Process Evaluation
- c. Impact Assessment

6. Standards of performance based on clearly identifiable "responsibilities" specified in an action plan can be used effectively by a criminal justice administrator in controlling employee performance.

7. The most effective "controls" of employee performance are "internal", i.e., are based on the individual's attitude toward or commitment to job responsibilities.

8. Effective motivation and communication techniques can contribute to the development and maintenance of internal controls.

9. In performing the three roles effectively, the criminal justice administrator must be able to exercise a great deal of "self-control". Dealing with the various stressors that are pervasive in the three roles, including the management of the precious resource time, are critical to achieving self-control.

## XI. COURSE CONCLUSION

The following is a module-by-module re-cap of the course. The instructor should refer to the Management Process Chart as shown in "Key Points" as this lecture is given.

### A. Module One

In Module One the following key points were made:

1. Criminal Justice Administrators function in three roles as they perform their duties:

## LECTURE NOTES

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

2. In performing these roles, three major management responsibilities are carried out:

- Planning
- Organizing
- Controlling

3. The types and sources of power available to criminal justice administrators either enhance or impede their abilities to perform their roles and responsibilities. Power is one of the important variables the administrator should consider in Step 1 of the Management Process, as well as other factors such as agency or program history, relevant legislation, etc.

### B. Module Two

The following key points were made in Module Two:

1. There are three levels of Planning:

- Normative
- Strategic
- Operational

2. Each addresses a different question:

- Normative: What should we do?
- Strategic: What can we do?
- Operational: What will we do?

3. Normative Planning is a two-step process:

a. Conducting a Situation Analysis to further clarify the potential impact of internal and external variables on the direction the organization, program, or leader might choose. The assessment of talent was a key component in the Situation Analysis, and a framework for assessing talent was discussed in

### Key Points and Comments

*Point out that the Management Process Chart is a graphic representation of how these responsibilities are carried out. Refer to Step 1 on Chart.*

*Point out that this represents Steps 2 and 3 on the Management Process Chart.*

## LECTURE NOTES

the context of the Organizational Personality Theory.

b. Establishing a Mission and Normative Goals to provide a focus for organization, program, and leadership efforts. The mission describes the reason for the existence of the organization, program, or leadership efforts and should reflect the factors identified in the Situation Analysis. Normative Goals can be mandated, as can be the mission, or be established through the use of inputs from problem statements.

#### 4. Strategic Planning involves the following:

a. Developing Alternative Strategic Goals based on the "contributing factors" identified in the problem statement.

b. Selecting from these Alternative Strategic Goals those that should be more fully explored for possible implementation.

c. Identifying Alternative Courses of Action that can possibly achieve the Alternative Strategic Goals.

d. From the alternative courses of action identified, select "interim" strategies that will be more fully explored for possible implementation.

e. Selecting the "elements" that can best address the "interim" strategies.

f. Selecting from the interim strategies the ones that, on the basis of the examination of elements included in each, should be implemented.

g. Selecting Strategic Goals on the basis of the analysis of strategies and elements shown in e. and f.

### Key Points and Comments

*Point out that this reflects Steps 4-7 on the Chart.*

*Point out that "a" and "b" occur at Step 8, Decision point 2.*

*Step 9 includes "c".*

*This occurs at Step 10, Decision point 3.*

*e., f., and g. occur at Step 11, Decision Point 4.*

## LECTURE NOTES

5. Operational Planning includes activities reflected in 4. e., selecting from alternative elements, plus the activities in Step 12 involving the establishment of implementation and evaluation plans.

6. As planning activities become more operational in nature, the possibility of conflict brought on by change or other factors becomes greater. Strategies for dealing with change and conflict were discussed in this context, with the understanding that both factors can appear at every step in the Management Process.

7. For each of the major Decision Points addressed in the Module, "Decision Packages" were described that can be used by the criminal justice administrator to make that decision.

### C. Module Three

The following were the key points in Module III:

1. All three management responsibilities -- planning, organizing, and controlling -- overlay and are interrelated.

2. Organizing is based on the results that have evolved in Steps 1-11 of the Management Process.

3. Four basic concepts must be addressed in effectively organizing:

- Responsibility
- Authority
- Delegation
- Accountability

4. The "action plan" is a tool that can be used by the criminal justice administrator to insure that these basic concepts are addressed in his or her efforts to organize.

### Key Points and Comments

Refer to Step 12  
Decision Point 5.

The activities in  
Module Three occur at  
Step 12 in the Man-  
agement Process.

## LECTURE NOTES

5. PERT, CPA, Slack Time and Budget Analysis are all organizing tools based on networking that can be used by the criminal justice administrator in providing for the proper allocation of scarce resources.

### D. Module Four

Module Four addresses the following points:

1. The criminal justice administrator performs two distinct functions in the context of the control responsibility:

a. As manager of the control process, the criminal justice administrator has to insure that monitoring, process evaluation, and impact assessment are carried out consistent with the requirements of first and secondary controls. The criminal justice administrator should also insure that the outputs of these activities are used to correct deficiencies and to serve as inputs to future planning.

b. As director of an organizational unit, the criminal justice administrator acts as a "control agent". In this capacity he or she is responsible for conducting an appraisal process for subordinates that is based on sound standards of performance.

2. The criminal justice administrator can minimize the negative aspects of his or her role through the use of effective motivation and communication techniques such as those described in this module.

3. Stress is inherent in the day-to-day life of a criminal justice administrator, and techniques for recognizing and dealing with stress were presented, including time management techniques.

4. In the context of time management, the issues of successful vs. unsuccessful leadership and

### Key Points and Comments

Module Four addresses Steps 12, 13, and 14 and Decision Point 6.



## LECTURE NOTES

effective vs. ineffective leadership were examined.

### E. Summary

This course has addressed the three roles and the management responsibilities performed by criminal justice administrators. Techniques have been presented for successfully performing both the technical and interpersonal aspects of these roles and responsibilities. Through lecture, case study, individual and group exercise and class discussion the point has been made and reemphasized that the world of the criminal justice administrator is indeed complex. At times even the most thorough application of management techniques cannot successfully overcome the maze of internal and external challenges criminal justice administrators confront. But these techniques can help to insure the greatest success possible, and in doing so can greatly enhance the overall effectiveness and efficiency of the criminal justice system.

### One final point-

As a whole, this course provides a conceptual framework in which criminal justice administrators can carry out the major management responsibilities in their three roles. The key components of this framework are the decision points and the types of information necessary to make those decisions. A process is shown by which organizations, programs and activities can be structured, moving logically through the establishment of normative and strategic goals and operational plans so that they can properly address the unique problems of the organization. Proper

Key Points and Comments

## LECTURE NOTES

utilization of this framework and its components can greatly enhance the potential success of any organization, program or effort.

Key Points and Comments

#### MODULE FOUR TEXT

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

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

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

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

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

## Annotated Bibliography

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

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

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

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

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

This work provides in-depth information concerning the actual development and implementation of a standards of performance program in a criminal justice agency. The principles discussed in the presentation are made concrete by describing how the Dade County Public Safety Department, Dade County, Florida, approached a change in personnel evaluation systems. It is believed the Dade County experience can help personnel administrators in other law enforcement agencies better formulate an approach to their own unique situations. Traditional performance appraisals in police departments

are criticized as too vague and unrelated to the performance objectives of the work required. The first step proposed is a remedy to conduct a job analysis that will determine the aspect of performance to be measured. Secondly, the behavior that will be used as an anchor to describe the various levels of performance for each performance category is determined. The third step involves criteria selection, which is the choice of items that will act as anchors for the final rating scales. The fourth and final step is the choice of a format for the performance appraisal. A performance appraisal system is viewed as a continuing process because organizations and situations change, as do the personnel who supervise them; continuing evaluation and modification of a basically sound system are therefore suggested.

4. Title: Stress and the Public Administrator

Author: David E. Morrison, M.D.

Source: Public Administration Review, July-August, 1977, pp. 407-414

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

5. Title: Motivational Theory

Author: Frank Goble

Source: AMA Excellence in Leadership, 1972

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

### Resource Bibliography

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