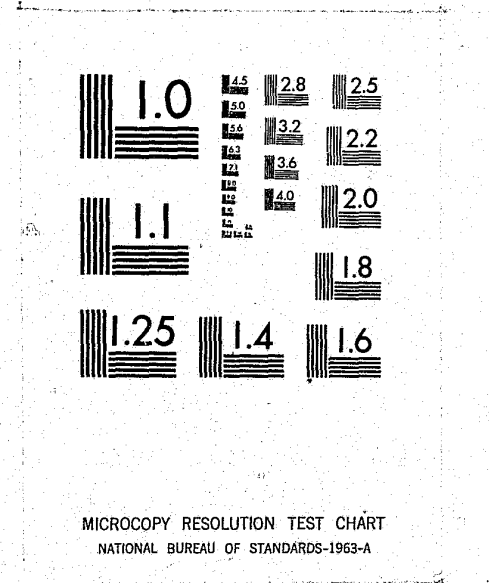


National Criminal Justice Reference Service



This microfiche was produced from documents received for inclusion in the NCJRS data base. Since NCJRS cannot exercise control over the physical condition of the documents submitted, the individual frame quality will vary. The resolution chart on this frame may be used to evaluate the document quality.



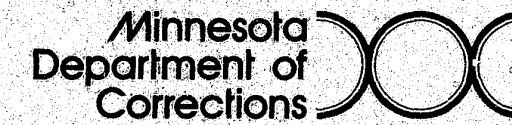
Microfilming procedures used to create this fiche comply with the standards set forth in 41CFR 101-11.504.

Points of view or opinions stated in this document are those of the author(s) and do not represent the official position or policies of the U. S. Department of Justice.

National Institute of Justice  
United States Department of Justice  
Washington, D. C. 20531

2/18/83

# MINNESOTA COMMUNITY CORRECTIONS ACT EVALUATION



86165

TECHNICAL REPORT:  
PLANNING AND ADMINISTRATION  
January, 1981

NCJRS  
 OCT 4 1981  
 ACQUISITIONS

U.S. Department of Justice  
 National Institute of Justice

This document has been reproduced exactly as received from the person or organization originating it. Points of view or opinions stated in this document are those of the authors and do not necessarily represent the official position or policies of the National Institute of Justice.

Permission to reproduce this copyrighted material has been granted by

Minnesota Department of  
Corrections

to the National Criminal Justice Reference Service (NCJRS).

Further reproduction outside of the NCJRS system requires permission of the copyright owner.

**TECHNICAL REPORT:**

**PLANNING AND ADMINISTRATION**

**January, 1981**

This research was supported in part by Grant #80 IJ CX 0001 awarded from the Office of Program Evaluation, National Institute, Law Enforcement Assistance Administration, United States Department of Justice. The research contained herein does not represent the official position of the funding agency.

**PROJECT STAFF**

GERALD J. STRATHMAN	Project Director	Director Research and Information Systems Department of Corrections
---------------------	------------------	---

**-- PRINCIPAL ANALYSTS --**

<b><u>VICTORIA B. COLAUTA</u></b>	<b><u>Planning and Administration</u></b>	Senior Research Analyst Crime Control Planning Board
GENE LARIMORE	Local Correctional Programming	Senior Research Analyst Department of Corrections
MARGUERITE BITTNER	Retaining Offenders in the Community	Senior Research Analyst Department of Corrections
MELINDA F. DAVIS	Appropriateness of Sanctions	Research Analyst II Department of Corrections
MARY B. WELFLING	Public Protection Social Justice	Senior Research Analyst Department of Corrections
MARJORIE C. GRITZKE	Economy Efficiency	Activity Manager Research and Evaluation Unit Crime Control Planning Board

**-- SUPPORT STAFF --**

SCOTT KEGLER	Data Management
ROBIN ROONEY-RONGITSCH	Cost Analysis

TIM BLANK	Data Collection	STEVE RUNNING	Data Collection
LANCE GROTH	Data Collection	PHYLLIS SOLAND	Secretarial
YOUSSEF HADDAD	Data Collection	BONNIE TURRENTINE	Data Collection
MARIE JUNTERMAN	Data Collection	SCOTT VAILLANCOURT	Data Collection
LUANN PADDEN	Secretarial	CLAUDIA WASSERMAN	Data Collection
TERRI RUNGE	Secretarial	GREGORY WHITCOMB	Data Collection



## ACKNOWLEDGEMENTS

The research staff for this evaluation is grateful to a variety of people whose cooperation and assistance has contributed to the success of this evaluation. A large number of people in the Community Corrections Act (CCA) areas have contributed to the evaluation by responding to questions from the research staff, and in many cases, assisting the staff in the collection and verification of data. A number of people throughout the country have also made contributions by reviewing and commenting on several preliminary documents. Special thanks are also due the Technical Assistance Resource Center (TARC) at the University of Wisconsin - Milwaukee. TARC made funds available in December, 1979 that allowed research staff to consult with Professor John L. Sullivan of the University of Minnesota on sampling and design issues and Don Thalheimer of the Institute for Economic and Policy Studies on issues related to economy and efficiency.

Finally, special appreciation is expressed to the Advisory Group established for this evaluation. Members of this group were appointed by Commissioner Young and have contributed to the evaluation in several ways. That group assisted the research staff in the development of the conceptual framework, in establishing important decision rules for interpreting the data and by providing thoughtful criticism of the evaluation in its various stages. The Advisory Group, of course, is not responsible for the conduct or the findings of the evaluation.

## TABLE OF CONTENTS

LIST OF TABLES . . . . .	i
I. INTRODUCTION . . . . .	1
A. Selection of Evaluation Content . . . . .	1
B. Relationship Between CCA Model and Evaluation Strategy . . . . .	1
1. Assessing Effort and Effect: Appraisal of Achievements . . . . .	1
2. Assessing Factors Inhibiting Implementation: Problems and Issues . . . . .	2
3. Assessing Factors Potentially Facilitating Implementation: Suggestions for Resolution of Problems and Issues . . . . .	2
II. METHODOLOGY . . . . .	3
1. Research Designs . . . . .	3
2. Data Sources/Data Analysis . . . . .	3
III. RESULTS: PLANNING . . . . .	10
A. Planning: Achievements and Changes . . . . .	10
1. Perceived Achievements and Changes . . . . .	10
2. Quantitative Measures of Planning . . . . .	11
B. Planning: Problems and Issues/Recommended Changes . . . . .	17
1. Unclear Roles and Responsibilities of Staff and Advisory Board Members . . . . .	17
a. Suggestions for Issue Resolution . . . . .	17
2. Lack of Formal Training in Planning Models and Methods/Inconsistent Terminology . . . . .	17
a. Suggestions for Issue Resolution . . . . .	19
3. Levels of Involvement by the Judiciary/Probation and Parole Officers . . . . .	19
a. Suggestions for Issue Resolution . . . . .	19
4. Inadequate DOC Planning Guidelines/Technical Assistance . . . . .	20
a. Suggestions for Resolution . . . . .	26
5. Issues Centering Around the Production of Comprehensive Plans . . . . .	26
a. Suggestions for Resolution . . . . .	27
6. Inadequate Identification/Integration/Utilization of Cross-System Resources . . . . .	27
a. Suggestions for Resolution . . . . .	28
7. Turf Problems/Lack of a Community Corrections Constituency . . . . .	29
a. Suggestions for Resolution . . . . .	29
8. Inadequate Data Collection/Data Elements . . . . .	29
C. Planning: Summary and Conclusions . . . . .	30
IV. RESULTS: TRAINING . . . . .	31
A. Training: Achievements and Changes . . . . .	31
1. Perceived Achievements and Changes . . . . .	31
2. Quantitative Measures of Training . . . . .	33
B. Training: Problems and Issues . . . . .	38
1. Inadequate Training Policy, Guidelines, and Criteria Established by the DOC and by Local Community	

Corrections Organizations . . . . .	38
a. Suggestions for Resolution . . . . .	38
2. Inadequate Assessment of Training Needs/Insufficient Training Plans . . . . .	40
a. Suggestions for Resolution . . . . .	40
3. Resistance/Passivity/Time Constraints . . . . .	40
a. Suggestions for Resolution . . . . .	41
4. Inadequate Training Programs . . . . .	42
a. Absence of a Training Officer, Coordinator or Training Committee/Insufficiently Skilled Training Officer or Coordinator . . . . .	42
1) Suggestions for Resolution . . . . .	42
b. Lack of Media Coverage of Training Opportunities . . . . .	43
1) Suggestions for Resolution . . . . .	43
c. Absence of a Training Accounting System . . . . .	44
1) Suggestions for Resolution . . . . .	44
d. Insufficient Coordination . . . . .	44
1) Suggestions for Resolution . . . . .	45
e. Limited Topical Content/Inappropriate Format . . . . .	45
1) Suggestions for Resolution . . . . .	45
5. Absence of Evaluation . . . . .	45
a. Absence of Evaluation of Quality and Utility of a Given Training Activity . . . . .	45
b. Absence of Performance Evaluation . . . . .	46
c. Suggestions for Resolution . . . . .	46
6. Funding Issues . . . . .	46
a. Insufficient Training Funds/Insufficient Funds to Hire Training Director/Coordinator . . . . .	47
1) Suggestions for Resolution . . . . .	47
b. Difficulty in Estimating Training Budget/Difficulty in Allocating Training Monies . . . . .	47
1. Suggestions for Resolution . . . . .	48
c. Five Percent Training Expenditure Rule . . . . .	48
1) Suggestions for Resolution . . . . .	48
C. Training: Summary and Conclusions . . . . .	49
V. RESULTS: RESEARCH/INFORMATION SYSTEMS . . . . .	51
A. Research/Information Systems: Achievements and Changes . . . . .	51
1. Perceived Achievements and Changes . . . . .	51
2. Quantitative Measures of Research/Information Systems . . . . .	51
3. Performance of DOC in Reviewing and Approving Research and Information Systems Designs and Processes . . . . .	53
B. Research/Information Systems: Problems and Issues . . . . .	62
1. Insufficient Technical Assistance by DOC/Inadequate Research and Information Systems Guidelines and Criteria . . . . .	62
a. Suggestions for Resolution . . . . .	62
2. Nonstandardized Information Systems Design . . . . .	63
a. Nonequivalent Data Elements . . . . .	63
b. Duplicative Costs . . . . .	64
c. Suggestions for Resolution . . . . .	64
3. Insufficient Utilization of Data Collected . . . . .	65
a. Suggestions for Resolution . . . . .	65
4. Insitutionalization of Research/Information Systems as a	

Function of Local Community Corrections Organizations . . . . .	66
a. Suggestions for Resolution . . . . .	66
5. Prohibitive Research/Information Systems Costs . . . . .	67
a. Suggestions for Resolution . . . . .	67
C. Research/Information Systems: Summary and Conclusions . . . . .	68
VI. RESULTS: BUDGETING . . . . .	69
A. Budgeting: Achievements and Changes . . . . .	69
1. Perceptions of Achievements and Changes . . . . .	69
2. Quantitative Measures of the Budgeting Function . . . . .	71
B. Budgeting: Problems and Issues . . . . .	71
1. County and State Budgeting Cycles Are Not Synchronized . . . . .	71
a. Suggestions for Resolution . . . . .	77
2. County and DOC Budget Forms Are Different . . . . .	77
a. Suggestions for Resolution . . . . .	78
3. Quarterly Financial Status Reports Are Inefficient and Time-Consuming . . . . .	78
a. Suggestions for Resolution . . . . .	78
4. Advisory Boards Often Do Not Understand the Budgetary Implications of Policy Decisions . . . . .	78
a. Suggestions for Resolution . . . . .	79
C. Budgeting: Summary and Conclusions . . . . .	79
VII. RESULTS: STRUCTURE OF LOCAL COMMUNITY CORRECTIONS ORGANIZATIONS . . . . .	81
A. Behavioral Constructs as Indices of Organizational Structure . . . . .	81
1. Cooperation Satisfaction . . . . .	81
2. Collaboration . . . . .	87
3. Organizational Viability . . . . .	87
4. Organizational Legitimacy . . . . .	89
5. Contextual Environmental Impact . . . . .	90
6. Overall Assessment of Level of Attainment of Organizational Structure as Measured by Behavioral Constructs . . . . .	90
B. Perceived Achievements of Local Community Corrections Organizations . . . . .	90
C. Organizational Structure: Problems and Issues . . . . .	91
1. Roles and Responsibilities of the DOC in Administering the CCA . . . . .	91
a. Promulgation of Rules/Review of Standards Compliance . . . . .	92
b. Provision of Technical Assistance . . . . .	93
c. Suggestions for Resolution . . . . .	93
1) Revision of Rules/Guidelines/Criteria and Revision of Procedures to Monitor Standards Compliance . . . . .	93
2) Expansion of Technical Assistance Activities . . . . .	93
i) Negotiated Technical Assistance Schedules . . . . .	102
ii) Formation of a Team of Technical Assistants . . . . .	102
iii) Reviewing DOC Staff Structure . . . . .	103
iv) Negotiation of Technical Assistance Funding Mechanisms . . . . .	103
2. Roles and Responsibilities of Advisory Boards in Relation to County Boards . . . . .	103
a. Suggestions for Resolution . . . . .	103
3. Roles and Responsibilities of the Judiciary in Supervision of Court Services Personnel and Probation and Parole Officers . . . . .	104
a. Suggestions for Resolution . . . . .	104



4. Roles and Responsibilities of Individuals Under the CCA . . . . .	104
a. Suggestions for Resolution . . . . .	105
D. Organizational Structure: Summary and Conclusions . . . . .	105
a. Problems and Issues Associated with the Roles and Responsibilities of the DOC . . . . .	105
b. Problems and Issues Associated with the Roles and Responsibilities of the Judiciary, County Boards, and Advisory Boards . . . . .	106
c. Problems and Issues Associated with the Roles and Responsibilities of Individuals . . . . .	106
d. Suggestions for Resolution . . . . .	106
VIII. CONCLUSIONS . . . . .	107
FOOTNOTES . . . . .	112

LIST OF TABLES

TABLE 1: Data Sources for CCA Evaluation of Corrections Organization by Method of Presentation of Data/Results . . . . .	4
TABLE 2: Ratings of Aspects of Comprehensive Plans Produced by Local Community Corrections Organization . . . . .	12
TABLE 3: Indicators of Implementation of the Planning Function by Local Community Corrections Organization . . . . .	16
TABLE 4: Ratings by Local Community Corrections Organization of the Performance of the DOC in Carrying Out Mandates of the Community Corrections Act: Provide Consultation and Technical Assistance in the Development of Comprehensive Plans . . . . .	21
TABLE 5: Suggested Changes in the Planning Function by Local Community Corrections Organization . . . . .	32
TABLE 6: Ratings of Aspects of Training Sponsored or Funded by Local Community Corrections Organization . . . . .	34
TABLE 7: Indicators of Implementation of the Training Function by Local Community Corrections Organization . . . . .	39
TABLE 8: Suggested Changes in the Training Function by Local Community Corrections Organization . . . . .	50
TABLE 9: Indicators of Implementation of the Research/ Information Systems Function by Local Community Corrections Organization . . . . .	52
TABLE 10: Ratings of Aspects of Research Carried Out by Local Community Corrections Organization . . . . .	54
TABLE 11: Ratings of the Performance of the DOC in Carrying Out Mandates of the Community Corrections Act: Review and Approval of All Research and Evaluation Designs and Processes, Including Information Systems Designs . . . . .	58
TABLE 12: Suggested Changes in the Research/Information Systems Function by Local Community Corrections Organization . . . . .	70
TABLE 13: Indicators of Implementation of the Budgeting Function by Local Community Corrections Organization . . . . .	72

TABLE 14: Ratings of Aspects of the Budgeting Process by Local Community Corrections Organization . . . . . 73

TABLE 15: Suggested Changes in the Budgeting Function by Local Community Corrections Organization . . . . . 80

TABLE 16: Organizational Structure Measured as Behavioral Constructs Pertaining to Organizational Interaction . . . . . 82

TABLE 17: Organizational Structure Implementation Scores Based upon Behavioral Constructs Representing Organizational Interaction . . . . . 88

TABLE 18: Ratings of the Performance of the DOC in Carrying Out Mandates of the Community Corrections Act: Promulgation of Rules for Implementation of the CCA . . . . . 94

TABLE 19: Ratings of the Performance of the DOC in Carrying Out Mandates of the Community Corrections Act: Review Standards Compliance . . . . . 98

TABLE 20: Community Corrections Act Evaluation: Summary of Implementation Scores for Indices of Organizational Function and Structure . . . . . 109

TABLE 21: Community Corrections Act Evaluation: Degree of Implementation of Organizational Function and Structure by Local Community Corrections Organization . . . . . 110

TABLE 22: Ranks Assigned to Degree of Organizational Structure and Function Attained by Local Community Corrections Organization . . . . . 111

PLANNING AND ADMINISTRATION

I. INTRODUCTION

The conceptual overview for this evaluation effort identifies three objectives of the Community Corrections Act. The relationships among objectives are such that, hypothetically, attainment of one objective contributes both to attainment of other objectives and to the attainment of the goals of the Community Corrections Act (Figure 1.2 in the Minnesota Community Corrections Act Evaluation: General Report). The objective "to improve planning and administration" derives from the organizational requirements of the CCA. Thus, the term administration, in the broadest sense, refers to that set of coordinated and collaborative actions, centralized at the local level, that yields the effective and efficient implementation of the CCA. Specifically, the objective aims to effect the emergence of local community corrections organizations that manage implementation of the Community Corrections Act. Consequently, an evaluation of attainment of the pertinent CCA objective must appraise aspects or dimensions of local community corrections organizations.

A. Selection of Evaluation Content

Within the literature on organizations, the aspects of organizations which are employed to define and evaluate those organizations are quite varied. In the main, however, the aspects are categorically related to structure and function.<sup>1</sup> Simply stated, the organizational functions of research/information systems, training, planning, and budgeting were selected as subject matter for evaluation of local community corrections organizations because their conduct is delineated with the CCA rules.

With respect to organizational structure, many aspects of local community corrections organizations might have been examined; however, because of its commonality across the literature and because of its direct applicability to the CCA, organizational interaction was selected as the aspect of organizational structure that was to be scrutinized. To explain, in any organization, patterns of interaction among group members define roles and responsibilities. Relatively stable patterns of roles and responsibilities dictate organizational structure. Constructs which reflect behavior patterns among group members, as measures, are indicators of organizational interaction and, thus, organizational structure. Behavioral constructs related to organizational interaction that were deemed significant to this evaluation include cooperation satisfaction, coordination, contextual environmental impact, organizational legitimacy, and organizational viability.<sup>2</sup> These behavioral constructs were among those chosen because the ability of individuals involved with CCA to achieve the objectives and goals of the Community Corrections Act depends, in part, upon how they define their roles and responsibilities and how they interact. Therefore, in order to determine if the CCA objective pertaining to planning and administration (corrections organization) has been achieved at the local level, both organizational structure and function have been evaluated.

B. Relationship Between CCA Model and Evaluation Strategy

1. Assessing Effort and Effect: Appraisal of Achievements

Overall, this entire evaluation is a policy evaluation in which the ultimate aim is to ascertain the validity of the Community Corrections Act as it is currently formulated. In terms of the planning and administration component (corrections organization

component) of the CCA model presented in Figure 1.2, multiple data sets had to be gathered in an effort to validate the component per se and to validate its hypothesized relationship to other components, i.e., goals and objectives of the CCA model.

First, in order to determine whether the objective itself has or has not been attained, it was necessary to gather data from CCA decision makers about achievements, products, and perceptions of quality. It was also necessary to acquire analogous data about the structure of local community corrections organizations, specifically, the perceptions of individuals involved with CCA across dimensions representing kinds of interaction (e.g., cooperation satisfaction). These kinds of data were gathered through surveys and interviews, and yielded information about both level of effort expended and effects achieved. To the extent that both the levels of effort and effects achieved with respect to both structure and function are supported by qualitative and quantitative data, the CCA objective can be judged as internally valid. Additional evidence or lack thereof for attainment of the objective has been sought from other data sources, specifically, comprehensive plans and the annual reports produced by local community corrections organizations. All data were integrated into diverse kinds of analyses to yield multiple indicators of achievement of the CCA objective of improved corrections planning and administration.

The CCA model predicts that improved corrections organization yields both an increase in the range, quantity, and quality of correctional services (CCA objective) and an increase or maintenance in economy (CCA goal). Consequently, these hypothesized relationships had to be tested within the context of the policy evaluation. The data used to evaluate the validity of the links in the CCA model included those described immediately above as well as cost data and data on local correctional services which are described in the technical reports on Corrections Programming, Economy, and Efficiency. Appraisal of the hypothesized relationships in the CCA model is incorporated in the General Report.

## 2. Assessing Factors Inhibiting Implementation: Problems and Issues

In a test of a conceptual model, policy, or program, it is imperative not only to ascertain if it has succeeded or failed, but it is also necessary to identify and explore the factors that facilitated or hindered implementation. Here, a focus has been placed upon the problems and issues surrounding the structure and function of local community corrections organizations. As an example, in addition to determining what has been accomplished through the corrections planning that has occurred under CCA, the problems and issues surrounding the same have been examined. The utility of this strategy lies in its explanatory value. It answers questions about why some aspects of the CCA objective pertaining to corrections organization may not have been implemented to the extent anticipated by decision makers. Additionally, it may provide insight into why the objective might hinder the attainment of associated CCA objectives or goals.

## 3. Assessing Factors Potentially Facilitating Implementation: Suggestions for Resolution of Problems and Issues

As a logical extension, suggestions for resolution of problems and issues arising in regard to the structure and function of local community corrections organizations have been derived. These suggestions for resolution are intended to translate into actions that should, in the future, facilitate CCA implementation. The suggestions for resolution should be appraised by state and local decision makers in conjunction with other data about CCA effectiveness, cost, and cost-effectiveness.

In summary, this section of the CCA evaluation concentrates on the appraisal of attainment of the CCA objective pertaining to corrections organization by examining: 1) accomplishments as they are related to the structure and function of local community corrections organizations; 2) problems and issues; 3) suggestions for resolution of problems and issues; and 4) appraisal of attainment of the CCA objective pertaining to corrections organization.

## II. METHODOLOGY

### 1. Research Designs

The designs applied in the evaluation have been thoroughly explained in the Minnesota Community Corrections Act Evaluation: Research Design and the reader is encouraged to be familiar with the document. One comment appears germane, however. One of the designs that has been applied to the evaluation of local community corrections organization is a posttest-only design. (See p. 35 of the Research Design for an explanation.) The logic supporting the selection of that specific research design is as follows. The development of local community corrections organizations is dictated by the Community Corrections Act. The local community corrections organizations that are to evolve are intended to manage implementation of the CCA. Entire new organizations have evolved which had no direct parallels prior to implementation of the CCA. As far as organizational structure is concerned, there actually is no "pre" period. As a result, change in organizational structure occurring after CCA cannot be assessed because the community corrections organizations were nonexistent prior to implementation of the policy. Given resource limitations, it has only been feasible to evaluate the structure of local community corrections organizations at the time the evaluation was conducted. Minimum effort was directed to short-run changes undergone by the local community corrections organizations or to the processes that have produced change.

### 2. Data Sources/Data Analysis

In general, the methodology employed in the evaluation of corrections organization constitutes a field study. The specific procedures adopted were: a) mail surveys; b) one-to-one interviews and telephone interviews; and c) content analysis of documents such as comprehensive plans. The types of analyses undertaken depended upon the general classification of the data (qualitative versus quantitative) as well as the reliability of the data.

Two mail surveys were carried out. The first mail survey included a questionnaire (Form A) which contained structured items pertaining to the four organizational functions examined: research/information systems, planning, training, and budgeting. Form A also included items related to organizational structure and contained elements reflecting the behavioral constructs of cooperation satisfaction, collaboration, organizational legitimacy, organizational viability, and contextual environmental impact. In each CCA area, Form A was administered to all advisory board members (including recent past members), local CCA staff (administrators, planners, evaluators, fiscal officers, probation officers, and parole officers), and CCA specialists. Two hundred ninety-seven individuals out of a total of four hundred one completed and returned Form A. Overall, a seventy-four percent response rate has been observed for Form A (Table 1). This figure is high enough to warrant acceptance of data as reliable. That is to say, the data/results presented can be accepted as representative of the responses of the population of individuals surveyed, both by group and by CCA area. Form A data were primarily used to derive ratings, e.g., of comprehensive plans or of



TABLE 1: Data Sources for CCA Evaluation of Corrections Organization by Method of Presentation of Data/Results

Organizational Function or Structure	Types of Measures	Primary Method of Data Collection <sup>a</sup>	Data Sources	Method of Presentation of Data/Results
Planning	Achievements, Changes since CCA Was Implemented, Problems and Issues	Interviews, Administration of Form B Questionnaire, Content Analysis	CCA Administrators, CCA Staff, Comprehensive Plans, CCA Area Annual Reports	Incorporation in Text
	Ratings of Aspects of Comprehensive Plans	Administration of Form A Questionnaire	Advisory Board Members, CCA Administrators, CCA Staff (including probation, parole officers), CCA Specialists	Table 2
	Indicators of Implementation of Planning Function	Interviews, Content Analysis	CCA Administrators, CCA Staff, Comprehensive Plans, CCA Area Annual Reports	Table 3
	Ratings of DOC Performance in Development of Comprehensive Plans	Administration of Form A Questionnaire	Advisory Board Members, CCA Administrators, CCA Staff (including probation, parole officers), CCA Specialists	Table 4
	Suggested Changes in Planning Function	Interviews, Administration of Form B Questionnaire	CCA Administrators, CCA Staff, CCA Specialists	Table 5
Training	Achievements, Changes since CCA Was Implemented, Problems and Issues	Interviews, Administration of Form B Questionnaire, Content Analysis	CCA Administrators, CCA Staff, Comprehensive Plans, CCA Area Annual Reports	Incorporation in Text

(Table 1: Data Sources for CCA Evaluation of Corrections Organization by Method of Presentation of Data/Results - continued)

Organizational Function or Structure	Types of Measures	Primary Method of Data Collection <sup>a</sup>	Data Sources	Method of Presentation of Data/Results
Training (continued)	Ratings of Aspects of Training	Administration of Form A Questionnaire	Advisory Board Members, CCA Administrators, CCA Staff (including probation, parole officers), CCA Specialists	Table 6
	Indicators of Implementation of Training Function	Interviews, Content Analysis	CCA Administrators, CCA Staff, Comprehensive Plans, CCA Area Annual Reports	Table 7
	Suggested Changes in Training Function	Interviews, Administration of Form B Questionnaire	CCA Administrators, CCA Staff <sup>b</sup>	Table 8
Research/Information Systems	Achievements, Changes since CCA Was Implemented, Problems and Issues	Interviews, Administration of Form B Questionnaire, Content Analysis	CCA Administrators, CCA Staff, Comprehensive Plans, CCA Area Annual Reports	Incorporation in Text
	Indicators of Implementation of Research/Information Systems Function	Interviews, Content Analysis	CCA Administrators, CCA Staff, Comprehensive Plans, CCA Area Annual Reports	Table 9
	Ratings of Aspects of Research	Administration of Form A Questionnaire	Advisory Board Members, CCA Administrators, CCA Staff (including probation, parole officers), CCA Specialists	Table 10
	Ratings of DOC Performance in Review/Approval of Research and Information Systems Designs/Processes	Administration of Form A Questionnaire	Advisory Board Members, CCA Administrators, CCA Staff (including probation, parole officers), CCA Specialists	Table 11

(Table 1: Data Sources for CCA Evaluation of Corrections Organization by Method of Presentation of Data/Results - continued)

Organizational Function or Structure	Types of Measures	Primary Method of Data Collection <sup>a</sup>	Data Sources	Method of Presentation of Data/Results
Research / Information Systems (continued)	Suggested Changes in Research/Information Systems Function	Interviews, Administration of Form B Questionnaire	CCA Administrators of CCA Staff <sup>b</sup>	Table 12
Budgeting	Achievements, Changes since CCA Was Implemented, Problems and Issues	Interviews, Administration of Form B Questionnaire, Content Analysis	CCA Administrators, CCA Staff, <sup>b</sup> Comprehensive Plans, CCA Area Annual Reports	Incorporation in Text
	Indicators of Implementation of Budgeting Function	Interviews, Content Analysis	CCA Administrators, CCA Staff, Comprehensive Plans, CCA Area Annual Reports	Table 13
	Ratings of Aspects of Budgeting Function	Administration of Form A Questionnaire	Advisory Board Members, CCA Administrators, CCA Staff (including probation, parole officers), CCA Specialists	Table 14
	Suggested Changes in Budgeting Function	Interviews, Administration of Form B Questionnaire	CCA Administrators, CCA Staff <sup>b</sup>	Table 15
Organizational Structure	Achievements, Changes since CCA Was Implemented, Problems and Issues	Interviews, Administration of Form B Questionnaire, Content Analysis	CCA Administrators, CCA Staff, <sup>b</sup> Comprehensive Plans, CCA Area Annual Reports	incorporation in Text
	Cooperation Satisfaction, Organizational Legitimacy, Organizational Viability, Contextual Environmental Impact, Collaboration	Administration of Form A Questionnaire	Advisory Board Members, CCA Administrators, CCA Staff (including probation, parole officers), CCA Specialists	Table 16

(Table 1: Data Sources for CCA Evaluation of Corrections Organization by Method of Presentation of Data/Results - continued)

Organizational Function or Structure	Types of Measures	Primary Method of Data Collection <sup>a</sup>	Data Sources	Method of Presentation of Data/Results
Organizational Function or Structure (continued)	Organizational Structure Scores	Administration of Form A Questionnaire	Advisory Board Members, CCA Administrators, CCA Staff (including probation, parole officers), CCA Specialists	Table 17
	Ratings of DOC Performance in Promulgation of CCA Rules	Administration of Form A Questionnaire	Advisory Board Members, CCA Administrators, CCA Staff (including probation, parole officers), CCA Specialists	Table 18
	Ratings of DOC Performance in Reviewing Standards Compliance	Administration of Form A Questionnaire	Advisory Board Members, CCA Administrators, CCA Staff (including probation, parole officers), CCA Specialists	Table 19
Planning, Training, Research/Information Systems, Budgeting, Cooperation Satisfaction, Organizational Viability, Organizational Legitimacy, Contextual Environmental Impact, Collaboration	Summary of Implementation Scores of Each Index of Organizational Function or Structure		Table 3 Table 7 Table 9 Table 13 Table 17	Table 20
	Degree of Implementation of Indices of Organizational Function and Structure		Table 3 Table 7 Table 9 Table 13 Table 17	Table 21

(Table 1: Data Sources for CCA Evaluation of Corrections Organization by Method of Presentation of Data/Results - continued)

Organizational Function or Structure	Types of Measures	Primary Method of Data Collection <sup>a</sup>	Data Sources	Method of Presentation of Data/Results
	Ranks, Overall		Table 3	Table 22
	Ranks of		Table 7	
	Indices of		Table 9	
	Organizational		Table 13	
	Function or Structure		Table 17	

<sup>a</sup>Response rates for Form A and Form B questionnaires by local community corrections organizations are:

CCA Area	Form A-Response Rate	Form B-Response Rate
Region 6 West	62% (23/37)	75% (9/12)
Anoka	83% (24/29)	50% (6/12)
Arrowhead Regional Corrections	65% (36/55)	58% (7/12)
Blue Earth	80% (24/30)	50% (6/12)
Crow Wing-Morrison	83% (29/35)	58% (7/12)
Dodge-Fillmore-Olmsted	72% (33/46)	50% (6/12)
Hennepin	79% (26/33)	54% (7/13)
Ramsey	87% (20/23)	46% (5/11)
Red Lake-Polk-Norman	70% (23/33)	27% (3/11)
Rock-Nobles	68% (17/25)	50% (6/12)
Todd-Wadena	70% (21/30)	27% (4/15)
Washington	84% (21/25)	67% (8/12)
	74% (297/401)	AVERAGE: 51% (74/146)

<sup>b</sup>Data sources noted apply to data collected through interviews. The data sources (respondent pool) for Form B varied by CCA area. Each area nominated five potential Form B respondents from a pool consisting of advisory board members, CCA administrators, CCA staff (including probation and parole officers), CCA specialists, and other individuals familiar with local community corrections organizations. Seven other potential Form B respondents were randomly selected from the same pool.

DOC performance in reviewing standards compliance. Table 1 identifies the types of measures derived from Form A data and also shows where the data have been incorporated in this evaluation report.

Form B was administered within the context of a second mail survey and contained a series of open-ended items dealing with both organizational structure and function. It asked respondents to identify: a) achievements with respect to research/information systems, planning, training, budgeting, and organizational structure; b) changes in the above occurring after CCA entry (where applicable); c) problems and issues; and d) suggestions for the resolution of problems and issues. Form B was administered to approximately twelve individuals in each CCA area. Five of the respondents were nominated by the CCA administrators and advisory board members from a pool consisting of all advisory board members, CCA administrators, and CCA staff, CCA specialists, and any other persons knowledgeable about a local community corrections organization. The remaining seven respondents were randomly selected from the same pool. The overall response rate for Form B is fifty-one percent (74 respondents/146 potential respondents) (Table 1).

Because of the low response rate for the Form B questionnaire, no attempt was made to draw statistical inferences or even to compute descriptive statistics from Form B data. Form B data were combined with other data derived from content analyses of documents (such as comprehensive plans and CCA area annual reports) in a subsequent series of qualitative analyses. The qualitative analyses yielded lists of perceived achievements of local community corrections organizations with respect to organizational functions and structure; changes in these occurring as a result of CCA; problems and issues; and suggestions for resolution of the problems and issues. Ultimately, all data from qualitative analyses were verified in one-to-one interviews and telephone interviews with CCA administrators and staff. The types of qualitative measures derived from Form B data, data from comprehensive plans and annual reports, and from interviews are outlined in Table 1.

Implementation scores for planning, training, research/information systems, budgeting, and organizational structure were computed using quantitative measures gathered through interviews with CCA administrators and CCA staff, from comprehensive plans, and from annual reports. (These data are included in Tables 3, 7, 9, and 13.) All data were verified through interviews with CCA administrators and staff. Ranks were assigned to the local community corrections organizations based upon the quantitative measures which are measures of effort and do not reflect effectiveness, efficiency, or cost-effectiveness.

The summary data presented in Tables 20, 21, and 22 were primarily derived from data discussed above and were taken from the tables identified in Table 1. Table 20 data were abstracted from Tables 3, 7, 9, 13 and 17. Table 21 data came from Tables 3, 7, 9, 13 and 17 with appraisal of degree of implementation based upon the implementation criteria discussed in the section immediately below. Lastly, Table 22 data were derived from Tables 3, 7, 9, 13 and 17. An overall rank for each local community corrections organization was computed as the ranked sum of ranks for each index of organizational function and structure.

A set of measures and criteria had to be established to objectively judge degree of implementation of organizational structure and function. Implementation scores for each aspect of organizational structure and function considered were computed as the sum of: a) overall ratings of quality by CCA administrators, staff, advisory board members, and CCA specialists; and b) "yes" responses to questions indicating the



presence of an objective index reflecting a particular aspect of organizational structure or function such as the existence of a staff planner. In order to evaluate degree of implementation, the following decision rules have been adopted: a) if the average implementation score calculated is less than fifty percent, the aspect of organizational structure or function that is being examined is not considered to be implemented; b) if the average implementation score is fifty to seventy-five percent, the aspect of structure or function considered is considered implemented in part; and c) if the average implementation score is seventy-six to one hundred percent, the aspect of organizational structure or function is appraised as fully implemented.

### III. RESULTS: PLANNING

As introduction to the Results section, it is well to describe the format that will be followed in presenting results, findings, and suggestions for resolution of problems and issues. In discussing evaluation results for the sections on organizational structure and function, the format followed is: 1) perceived and objective achievements and changes since the CCA areas joined the Community Corrections Act; 2) problems, issues, and suggestions for resolution; and 3) summary and conclusions.

#### A. Planning: Achievements and Changes

The discussion of achievements will be divided into two sections. The first section represents perceptions, i.e., opinions, of individuals involved in CCA at the local level about the CCA organizations. The second section is based upon objective measures of planning, that is, measures that can be easily verified or observed.

##### 1. Perceived Achievements and Changes

In discussing the achievements observed as a result of the corrections planning that has occurred in the CCA areas, survey respondents, i.e., advisory board members, CCA administrators, staff (including probation and parole officers) and CCA specialists in virtually every CCA area relayed the opinion that very little systematic corrections planning occurred prior to CCA implementation. In the main, the pre-CCA planning was sketchy, did not address all components of the criminal justice system, and failed to identify and access external programming and related resources in a comprehensive fashion.

In contrast, following development of local community corrections organizations, the planning process has become institutionalized as an ongoing function of the organizations and is reflected in the publication of annual plans. Specifically, the planning that occurs reflects developing attempts to systematically identify the needs of both offender and the community. Need identification is translated into prioritized goals and objectives within comprehensive plans and results in the corrections programming available to offenders retained in the community. It is now not exclusively the criminal justice professional accomplishing a task in isolation, but a spectrum of professionals planning for community-based corrections. Primarily through the efforts of advisory board members and CCA staff, a developing constituency of criminal justice advocates has been created to facilitate implementation of CCA goals and objectives.

Major accomplishments of the planning that takes place are seen, by respondents, to be the coordination of elements of the criminal justice system and, most particularly, the identification and utilization of non-criminal justice resources (e.g., mental health, welfare, other human services and social services). Other accomplishments of the

planning process that have been cited by respondents are reduced duplication of corrections programming and other human services and social services programming within the community, and, through utilization of data now collected, the ability to assess cost and cost-effectiveness in generating planning decisions.

All in all, most individuals thought that the planning undertaken by local community corrections organizations was an asset to the implementation of the CCA at the local level. While it was recognized that planning is a developing organizational function that is becoming increasingly more sophisticated over time, it was also recognized that the planning process is a cornerstone for the realm of activities undertaken by local community corrections organizations.

#### 2. Quantitative Measures of Planning

The data presented thus far have been qualitative. In terms of quantitative appraisal of the planning that has occurred, Table 2 presents ratings of aspects of the comprehensive plans produced by local community corrections organizations. While only overall ratings are discussed here, it must be pointed out that ratings of the comprehensive plans have been presented for each CCA area.

A majority of individuals surveyed believed that the comprehensive plans are somewhat representative of the range of activities actually carried out by respective community corrections organizations. Concurrently, individuals thought that the plans are organized, are useful as reliable sources of information about community-based corrections, and do an adequate job of justifying the need for adult and juvenile corrections programs sponsored by the local community corrections organizations.

The reader should note the consistency of opinion about the comprehensive plans that is observed across CCA areas (Table 2). In general, there are no significant departures or disparities among the CCA areas in the ratings obtained for comprehensive plans. Additionally, the proportions of individuals who gave the modal response categories are high, indicating a high degree of concensus in the ratings of aspects of the comprehensive plans.

In summary, the opinion of individuals involved in local community corrections organizations (such as advisory board members, CCA administrators and staff, and CCA specialists) is that the comprehensive plans are reliable documents which do an adequate job of justifying the corrections programming sponsored within the CCA areas.

Table 3 contains indicators of implementation of the planning function at the local level, e.g., whether a local community corrections organization has a staff planner. Based upon the pattern of results observed, additional conclusions about the planning function can be drawn. To be specific, Table 3 indicates that an average of sixty-four percent of the elements selected as representative of the planning function have been incorporated within local community corrections organizations. Based upon this score, it is concluded that the planning function has been partially implemented within local community corrections organizations.

In CCA areas where the CCA administrator also serves as the community corrections planner, the answer "no" has been recorded under the column entitled "Staff Planner?" to indicate that a separate planner is not on staff. Because of the range of other duties and responsibilities assumed by CCA administrators and because of the planning issues and problems delineated, a decision was made that an assumption that separate

TABLE 2: Ratings of Aspects of Comprehensive Plans Produced by Local Community Corrections Organization

Variable	C C A AREA							
	All (n <sub>All</sub> =294)		6W (n <sub>6W</sub> =23)		Anoka (n <sub>ANK</sub> =23)		ARC (n <sub>ARC</sub> =56)	
	Modal Response:	Percent <sup>a</sup>	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent
Representativeness of Plan to CCA Activities <sup>b</sup>	Somewhat Representative (4.0):	50%	Completely Representative (5.0):	48%	Somewhat Representative (4.0):	57%	Somewhat Representative (4.0):	53%
Degree of Organization <sup>c</sup>	Somewhat/Completely Organized (4.5):	76%	Somewhat/Completely Organized (4.5):	83%	Somewhat Organized (4.0):	52%	Somewhat/Completely Organized (4.5):	58%
Usefulness as Source of Reliable Information <sup>d</sup>	Somewhat/Very Useful (3.5):	77%	Somewhat/Very Useful (3.5):	78%	Somewhat Useful (3.0):	52%	Somewhat/Very Useful (3.5):	72%
Justifies Need for Adult Corrections Program Sponsored <sup>e</sup>	Adequately (4.0):	48%	Undecided/Adequately (3.5):	74%	Adequately (4.0):	61%	Adequately (4.0):	42%
Justifies Need for Juvenile Corrections Programs Sponsored <sup>f</sup>	Adequately (4.0): Don't Know:	44% 27%	Adequately (4.0):	52%	Adequately (4.0):	57%	Adequately (4.0):	36%

<sup>a</sup>Percentage of respondents selecting modal (i.e., most frequently selected) response category.

<sup>b</sup>Rating scale ranged from 1 to 5, where "1" is "completely representative," "2" is "not very representative," "3" is "undecided," "4" is "somewhat representative," "5" is "completely representative."

<sup>c</sup>Rating scale ranged from 1 to 5, where "1" is "completely disorganized," "2" is "somewhat disorganized," "3" is "undecided," "4" is "somewhat organized," "5" is "completely organized."

<sup>d</sup>Rating scale ranged from 1 to 4, where "1" is "not at all useful," "2" is "slightly useful," "3" is "somewhat useful," "4" is "very useful."

<sup>e</sup>Rating scale ranged from 1 to 5, where "1" is "not at all adequately," "2" is "poorly," "3" is "undecided," "4" is "adequately," "5" is "very well."

<sup>f</sup>Rating scale ranged from 1 to 5, where "1" is "not at all adequately," "2" is "poorly," "3" is "undecided," "4" is "adequately," "5" is "very well."

TABLE 2: Ratings of Aspect of Comprehensive Plans Produced by Local Community Corrections Organization

Variable	C C A AREA									
	Blue Earth (n <sub>BE</sub> =24)		Crow Wing-Morrison (n <sub>CWM</sub> =25)		Dodge-Fillmore-Olmsted (n <sub>DFO</sub> =34)		Hennepin (n <sub>HENN</sub> =26)		Ramsey (n <sub>RA</sub> =21)	
	Modal Response:	Percent <sup>a</sup>	Modal Response:	Percent <sup>a</sup>	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent
Representativeness of Plan to CCA Activities <sup>b</sup>	Somewhat Representative (4.0):	63%	Somewhat Representative (4.0):	60%	Somewhat Representative (4.0):	50%	Somewhat Representative (4.0):	54%	Completely Representative (5.0):	33%
Degree of Organization <sup>c</sup>	Completely Organized (5.0):	33%	Somewhat/Completely Organized (4.5):	84%	Completely Organized (5.0):	65%	Completely Organized (5.0):	50%	Somewhat/Completely Organized (4.5):	71%
Usefulness as Source of Reliable Information <sup>d</sup>	Somewhat Useful (3.0):	38%	Somewhat/Very Useful (3.5):	80%	Very Useful (4.0):	56%	Somewhat/Very Useful (3.5):	96%	Somewhat/Very Useful (3.5):	71%
Justifies Need for Adult Corrections Program Sponsored <sup>e</sup>	Adequately (4.0):	50%	Adequately (4.0):	40%	Adequately (4.0):	62%	Adequately (4.0):	50%	Adequately (4.0):	29%
Justifies Need for Juvenile Corrections Programs Sponsored	Undecided (3.0):	29%	Adequately (4.0):	44%	Adequately (4.0):	68%	Adequately (4.0):	39%	Adequately/Very Well (4.5):	47%



TABLE 2: Ratings of Aspects of Comprehensive Plans Produced by Local Community Corrections Organization

Variable	C C A AREA							
	Red Lake-Polk-Norman (n <sub>RPN</sub> =24)		Rock-Nobles (n <sub>RN</sub> =16)		Todd-Wadena (n <sub>TW</sub> =21)		Washington (n <sub>WASH</sub> =21)	
	Modal Response:	Percent <sup>a</sup>	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent
Representativeness of Plan to CCA Activities <sup>b</sup>	Somewhat Representative (4.0):	46%	Somewhat Representative (4.0):	56%	Completely Representative (5.0):	52%	Somewhat Representative (4.0):	57%
Degree of Organization <sup>c</sup>	Completely Organized (5.0):	38%	Somewhat/Completely Organized (4.5):	75%	Completely Organized (5.0):	71%	Somewhat/Completely Organized (4.5):	90%
Usefulness as Source of Reliable Information <sup>d</sup>	Very Useful (4.0):	46%	Somewhat Useful (3.0):	38%	Very Useful (4.0):	67%	Somewhat/Very Useful (3.5):	81%
Justifies Need for Adult Corrections Program Sponsored <sup>e</sup>	Adequately (4.0):	50%	Adequately (4.0):	50%	Adequately (4.0):	62%	Adequately (4.0):	43%
Justifies Need for Juvenile Corrections Programs Sponsored <sup>f</sup>	Adequately (4.0):	46%	Adequately (4.0):	44%	Very Well (5.0):	48%	Adequately (4.0):	57%

staff planners would be needed is valid. Therefore, an evaluation decision was made to not treat the administrators as planners in deriving total planning scores.

To return to the point, Table 3 reveals that two-thirds of the CCA areas do not have staff members whose primary duties and responsibilities are planning activities. In those CCA areas, the CCA administrator invariably functions as the staff planner. The primary reason for this seems to be insufficient funds to hire a separate planner, although it has been pointed out that regardless of staff complement, CCA administrators maintain overall responsibility for the implementation of the planning function. Nevertheless, the fact that staff planners are present in only one-third of the local CCA organizations is viewed as primary evidence that the planning function is not being implemented to the maximum extent possible. Holding responsibility for carrying out planning needs assessments alone would account for a substantial amount of time. In addition, the responsibilities associated with the production and implementation of comprehensive plans suggest that planning is a full-time job. To the degree that improvement in carrying out all activities formally associated with planning would be realized, it appears necessary that staff planners be maintained by local community corrections organizations.

With regard to local planning policy statements, it is seen that fifty percent of the local community corrections organizations do not have a statement showing why the planning function has been implemented at the local level, what will be accomplished, who will benefit, and what costs and benefits are associated with planning. Furthermore, only two of the twelve CCA areas have local planning guidelines and criteria. The planning guidelines and criteria which are used are those provided by the DOC.

The conduct of needs assessments and integration of results and findings into decision-making contexts has been cited as an activity carried out as a component of the planning function. Ninety-three percent of the local community corrections organizations have reportedly carried out and utilized formal needs assessments. It should be pointed out, however, that the interpretation of the term "needs assessment" varies widely, ranging from informal review of situations or conditions to application of research methodology to systematically collect and analyze data and devise strategies for action. The lack of consistent meaning applied to the term prohibits comprehensive analysis of the methods actually employed by local community corrections organizations to ascertain offender and community needs and translate these into corrections programming. While it is the opinion of individuals involved in local community corrections organizations that comprehensive plans do an adequate job of justifying the need for the programs included in comprehensive plans, objective data derived from examination of comprehensive plans do not concur. A majority of the data and information presented in comprehensive plans do not unequivocally provide documentation of the need for specific correctional services or the data presented are post hoc, i.e., gathered after the fact.

Quantitative data also indicate that, to some extent, cross-system resources are being integrated into use by local community corrections organizations as mandated by the CCA. No data exist at this time with which to assess the adequacy with which the correctional needs of the offender and the community are being met, however. This latter statement refers both to the range of correctional services funded by local community corrections organizations as well as to the range of other services (e.g., human services, social services) potentially available through non-corrections resources. Similarly, no quantitative data are available which suggest that duplicative corrections and human/social services programming, if they ever existed, have been reduced by the planning activities undertaken by local community corrections organizations.

TABLE 3: Indicators of Implementation of the Planning Function by Local Community Corrections Organization

CCA Area	Staff Planner?	Planning Committee?	Maintain Written Local Planning Policy Statement?	Maintain Written Local Planning Guidelines Criteria?	Conduct Planning Needs Assessments?	Produce Written Annual Comprehensive Plan?	Overall Rating of Perceptions of Adequacy of Comprehensive Plan <sup>a</sup>	Total Planning Score <sup>b</sup>	Planning Implementation Score <sup>c,d</sup>	Rank
6W	No <sup>e</sup>	No	No	No	Yes	Yes	+	3	43% (3/7)	11
Aroka	No <sup>e</sup>	Yes	Yes	No	Yes	Yes	+	5	71% (5/7)	4.5
ARC	Yes	Yes	No	No	Yes	Yes	+	5	71% (5/7)	4.5
Blue Earth	No <sup>e</sup>	Yes	Yes	No	Yes	Yes	+	5	71% (5/7)	4.5
Crow Wing-Morrison	No <sup>e</sup>	Yes	Yes	No	No	Yes	+	4	57% (4/7)	8
Dodge-Fillmore-Olmsted	No <sup>e</sup>	Yes	Yes	Yes	Yes	Yes	+	6	86% (6/7)	2
Hennepin	Yes	No	No	No	Yes	Yes	+	4	57% (4/7)	8
Ramsey	Yes	No	No	No	Yes	Yes	+	7	57% (4/7)	8
Red Lake-Polk-Norman	Yes	Yes	Yes	Yes	Yes	Yes	+	7	100% (7/7)	1
Rock-Nobles	No <sup>e</sup>	No	No	No	Yes	Yes	+	3	43% (3/7)	11
Todd-Wadena	No <sup>e</sup>	Yes	Yes	No	Yes	Yes	+	5	71% (5/7)	4.5
Washington	No <sup>e</sup>	No	No	No	Yes	Yes	+	3	43% (3/7)	11
AVERAGE:								4.5	AVERAGE:	64%

<sup>a</sup>Overall rating is derived from opinions of advisory board members, CCA administrators and staff, and the CCA specialist for each CCA area. Refer to Table 2.  
<sup>b</sup>Total planning score is computed as the sum of the "yes" and "+" measures observed within each CCA area.  
<sup>c</sup>Planning Implementation score = Total planning score ÷ Maximum planning score (7 points).  
<sup>d</sup>Planning implementation scores evaluate level of effort but do not reflect an overall assessment of quality, effectiveness, or efficiency.  
<sup>e</sup>CCA administrator serves as staff planner.



## B. Planning: Problems and Issues/Recommended Changes

The problems and issues surrounding the planning function of local community corrections organizations primarily involve: 1) roles and responsibilities; and 2) resource management.

### 1. Unclear Roles and Responsibilities of Staff and Advisory Board Members

In some CCA areas, planning is viewed primarily as a staff function augmented by input and feedback from the advisory board. In other CCA areas, planning is undertaken by committees of the advisory board working with staff. Regardless of organizational format, some confusion or dissatisfaction exists with regard to level of effort and responsibility that is assumed or not assumed by either the staff or the advisory board in making decisions about such things as the prioritization of needs, selection of programmatic strategies, and allocation of funds.

In addition, there is consensus across local CCA organizations that advisory board members resist participation in the planning process. Conflicting demands on their time are considered the primary reasons, although the perception exists that some advisory board members are just not interested in planning or think that it has no utility.

Confusion about roles and responsibilities also arises between advisory boards and the county boards about which holds power for the administration of the Community Corrections Act. The county boards have sign-off authority on questions of CCA resource allocation or reallocation, which actually means that their impact can be on any of the functions of local community corrections organizations. The responsibilities of the advisory board members basically revolve about the planning function but are advisory to CCA staff and to the county board. Role conflict enters when county boards exercise their administrative authority to make decisions which may override those of the advisory board. Some advisory board members react to the override in a negative fashion. The results are reportedly varied, ranging from anger to diminished participation in the planning process. The point of contention is whether the county boards' decisions legitimately override those of the advisory boards.

Each of the problems delineated with respect to roles and responsibilities inhibits execution of the planning function. Internally, the result is inefficient utilization of staff and advisory board resources. Externally, with respect to acquisition and integration of cross-system resources, loss of participation of advisory board members results in incomplete planning for and incorporation of cross-system resources for use within local community corrections organizations.

#### a. Suggestions for Issue Resolution

To the extent that the planning function is inhibited by unclear roles and responsibilities of staff and advisory board members, select management tools can be employed for assignment and clarification. For example, responsibility charting could be implemented in association with a management by objective (mbo) model. A series of formal negotiation sessions could also be held to define, identify, and/or allocate responsibilities associated with the planning function. The goal here is to facilitate planning by breaking the task of planning into a set of activities for which specific individuals or job classes are held responsible. Since the management skills required to resolve the issues are fairly specialized, it is further recommended that a management or planning consultant be brought in to assist with this task.

The issue of apparently incomplete incorporation of cross-system resources into local community corrections organizations is severe. The Community Corrections Act mandates the acquisition of a full range of services (e.g., social services, human services, educational services) for inclusion within these local corrections organizations. To the extent that this is not being accomplished, both the letter and the philosophy of the CCA are not being fulfilled. Therefore, it is suggested that the CCA rules and guidelines as they pertain to the structure of advisory boards and to the planning function be evaluated for possible modification.

It has been suggested by some respondents that a solution to the issue of insufficient advisory board participation in the planning process is a change in composition of the advisory boards. The suggestion for change in the composition of advisory boards most often put forth by individuals involved in local community corrections organizations is to alter both the CCA rules and guidelines as well as local organizational policy. Advisory board members who do not assume assigned responsibilities or actively participate in the organizations should, according to this line of thought, be replaced. Planning should be conducted by those persons who are interested and have the time to do so.

For philosophical as well as political and economic reasons, the representation of different fields within the advisory board must be maintained. If attention is shifted to the goals and objectives of planning and if consideration is paid to the fact that it is individuals who are skilled in planning who should actually effect the task, then an alternate recommendation appears feasible. Specifically, it is suggested that a committee of advisory board members and ad hoc committee members together with CCA staff be assigned to carry out the cross-system planning function dictated to local community corrections organizations by the CCA. The ad hoc members should be those persons who carry out analogous duties and responsibilities in the fields represented by advisory board members. This committee should cooperatively draw up plans for the acquisition and utilization of cross-system resources. As would normally be the case, the cadre of planners/ad hoc committee members would report to and review preliminary recommendations with their supervisors or colleagues, who would be advisory board members. The full advisory board would then serve to review and approve the comprehensive plans.

A final suggestion is that a planning task force be established to consider the feasibility of what has just been proposed. The planning task force should be comprised of members (staff, advisory board, volunteers) of all the local community corrections organizations, appropriate DOC staff, cross-system planners, as well as planning consultants. The primary job for the planning task force would be to devise strategies to accomplish the cross-system planning stipulated by the CCA. The task force could also serve to implement the additional suggestions for change presented here.

## 2. Lack of Formal Training in Planning Models and Methods/Inconsistent Terminology

Further confusion in carrying out the planning function is contributed by the apparent fact that few advisory board members or CCA staff have had training in formal planning models and methods. As a result, the strategies they elect to follow to accomplish planning activities vary as a function of their particular training and experience. This can and does cause confusion about how the planning process should proceed, what it should accomplish, and who should effect its completion and implementation. Concurrently, advisory board members come from a variety of fields. The terminology they use to refer to planning and programming differs, thus producing

a barrier to effective communication. Communication becomes imprecise, and interpretations of meaning vary greatly. A common language is absent although shared meaning is considered essential to the planning process.

### a. Suggestions for Issue Resolution

To the extent that effective and efficient interaction is inhibited by lack of common strategies for problem solving and by lack of common planning terminology, then appropriate training is the key to issue resolution. Training programs should be sponsored for CCA staff, advisory board members, and related professionals in order to develop a common body of knowledge and skills with which to carry out the planning function. Both the structure and content of the training programs should be established in conjunction with CCA administrators, staff, and advisory boards. The training program should also be subject to review and approval by the planning task force recommended previously. A centralized body, such as the DOC or MACCAC, should maintain responsibility for conducting the training program to ensure utility of content; however, the specific content of the training program should be based upon an assessment of the training needs of target audiences. The end product of the training program would, ideally, be common planning terminology and strategies within and across local community corrections organizations. Such an accomplishment could possibly serve to encourage information sharing and discussion of the utility of various strategies in carrying out different kinds of planning even though each would be adapted for individual local community corrections organizations.

### 3. Levels of Involvement by the Judiciary/Probation and Parole Officers

The levels of involvement in the planning process by the judiciary are perceived to be problematic at both extremes since the potential success of community corrections programming is viewed as largely dependent upon cooperation and acceptance by judges. The extent to which they accept or reject both community-based corrections as well as particular programs, in part, depends upon whether they accept the philosophy of community-based corrections, the legitimacy of the local community corrections organizations, as well as the quality of programming available.

Because of the autonomy and influence of the court, the decision to use/not use programs or to require various correctional services (e.g., custodial evaluation) sets a direction for the planning process by influencing both the selection of service modalities and resource allocation. It has been pointed out that, regardless of the effectiveness, cost, or cost-effectiveness of any given correctional service, acceptance or rejection by the court determines the future availability of and emphasis placed upon use of that service. It also affects the monies that are expended to support the continuation or modification of the correctional service as well as other services. A similar phenomenon is observed in the case of probation/parole officers whose decisions to utilize or not utilize various correctional services are crucial because of their working relationship with judges who often rely on their judgment and recommendations regarding offender treatment plans.

### a. Suggestions for Issue Resolution

The suggestions that can be made here are somewhat vague because of the nature of the issues delineated as well as because of far more complex issues pertaining to separation of powers (executive versus judicial) and due process. As far as cooperation between local community corrections organizations and the court in carrying out the planning function is concerned, frequent interaction incorporating a two-way feedback

mechanism is necessary. To the extent that CCA planning decisions are based upon the existence of objective ("hard") data on need, effectiveness, cost, or cost-effectiveness, executive decisions to institute, modify, or terminate correctional services should be made and carried out. As with any important decisions, optimal planning decisions should be based upon consideration of all factors and sources of information, including in this instance the judiciary. From the other perspective, i.e., that of the court, this feedback mechanism should function to support the judicial planning function. The same data used by CCA staff should be available to the court to facilitate its decision making. The sharing of data and information should result in an optimal match between executive and judicial needs and allocation of resources.

The existence of strong CCA administrators and advisory boards, as well as the existence of strong local community corrections constituencies, also encourages interaction and cooperation by providing the court with sufficient feedback about the consensus of the directions corrections planning should take. The presence or absence of broadbased support for community corrections planning decisions and possibilities is a source of information the court utilizes in a decision to cooperate/participate in the organizational planning function and in making judicial planning decisions and recommendations. The CCA staff and advisory boards should serve as advocates for comprehensive planning.

Finally, to the extent that executive and judicial power, duties, and responsibilities are unclear, overlapping, or contradictory, resolution should be accomplished through statute. Therefore, it is suggested that the planning task force consider these issues with a possible goal of enacting or modifying legislation.

#### 4. Inadequate DOC Planning Guidelines/Technical Assistance

The contribution of the DOC, as a primary resource, to the execution of the planning function at the local level is seen to require improvement. As Table 4 reveals, modal ratings of the technical assistance provided to local community corrections organizations suggest that the overall performance of the DOC is both good and timely. State and local staff have cooperated with each other and this interaction has somewhat facilitated local CCA operations. (Table 4 shows that the overall levels of support across related variables are not high, however, and there are relatively high percentages of "don't know" responses.)

Interviews with CCA administrators and staff suggest that problem areas are level of activity of the DOC in actually providing the technical assistance and imprecise and equivocal planning guidelines. With respect to the first, the opinion of CCA staff at the local level is that CCA specialists and other DOC staff involved with CCA do not assume an active role in delivering technical assistance in planning on a regular basis. The provision of technical assistance and technical information is done on a reactive rather than a proactive basis. This is particularly problematic for CCA areas which do not have a planner and where the implementation of the planning function is the responsibility of the CCA administrator and/or advisory board members. The absence of a planner or the lack of training in planning models and methods, combined with difficulty in interpreting planning guidelines, result in confusion about the content and format of the comprehensive plans. The absence of standardized format, topical areas, and units of analysis also inhibit comparison of the contents of comprehensive plans across CCA areas. As an example, comparison would be of assistance in estimating relative effect and cost as well as cost-effectiveness across CCA areas.

TABLE 4: Ratings by Local Community Corrections Organization of the Performance of the DOC in Carrying Out Mandates of the Community Corrections Act: Provide Consultation and Technical Assistance in the Development of Comprehensive Plans

Variable	C C A AREA					
	(n <sub>All</sub> =294)		(n <sub>6W</sub> =23)		(n <sub>ANK</sub> =23)	
	Modal Response:	Percent <sup>a</sup>	Modal Response:	Percent	Modal Response:	Percent
Overall Performance of the DOC	Good (4.0):	36%	Good (4.0):	39%	Good (4.0):	48%
	Don't Know:	26%				
Effect on Local CCA Operations <sup>c</sup>	Somewhat Facilitated (4.0):	33%	Somewhat Facilitated (4.0):	39%	Somewhat Facilitated (4.0):	52%
	Don't Know:	30%				
Level of Cooperation between the DOC and the Local Community Corrections Organization <sup>d</sup>	Good (4.0):	32%	Good (4.0):	39%	Good (4.0):	48%
	Don't Know:	31%	Don't Know:	30%		
Level of Activity of the DOC <sup>e</sup>	Somewhat Active (4.0):	33%	Somewhat Active (4.0):	35%	Somewhat Active (4.0):	48%
	Don't Know:	30%	Don't Know:	26%	Don't Know:	26%
Timeliness of DOC Efforts	Timely (4.0):	37%	Timely (4.0):	30%	Timely (4.0):	57%
	Don't Know:	37%	Don't Know:	39%	Don't Know:	26%
Has the DOC Provided Adequate Guidelines? <sup>f</sup>	Somewhat Adequate (4.0):	34%	Somewhat Adequate (4.0):	61%	Somewhat Adequate (4.0):	30%
	Don't Know:	37%			Don't Know:	30%

<sup>a</sup>Percentage of respondents selecting modal response category.

<sup>b</sup>Rating scale ranged from 1 to 5, where "1" is "bad," "2" is "poor," "3" is "fair," "4" is "good," "5" is "excellent."

<sup>c</sup>Rating scale ranged from 1 to 5, where "1" is "greatly hindered," "2" is "somewhat hindered," "3" is "undecided," "4" is "somewhat facilitated," "5" is "greatly facilitated."

<sup>d</sup>Rating scale ranged from 1 to 5, where "1" is "bad," "2" is "poor," "3" is "fair," "4" is "good," "5" is "excellent."

<sup>e</sup>Rating scale ranged from 1 to 5, where "1" is "very passive," "2" is "somewhat passive," "3" is "undecided," "4" is "somewhat active," "5" is "very active."

<sup>f</sup>Rating scale ranged from 1 to 5, where "1" is "nonexistent," "2" is "late," "3" is "slightly delayed," "4" is "timely," "5" is "too early."

<sup>g</sup>Rating scale ranged from 1 to 5, where "1" is "none provided," "2" is "completely inadequate," "3" is "somewhat inadequate," "4" is "somewhat adequate," "5" is "completely adequate."



TABLE 4: Ratings by Local Community Corrections Organization of the Performance of the DOC in Carrying Out Mandates of the Community Corrections Act: Provide Consultation and Technical Assistance in the Development of Comprehensive Plans

	C C A AREA					
	ARC (n <sub>ARC</sub> =36)		Blue Earth (n <sub>BE</sub> =24)		Crow Wing-Morrison (n <sub>CWM</sub> =25)	
	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent
Overall Performance of the DOC <sup>b</sup>	Fair/Good (3.5):	59%	Fair (3.0):	29%	Good (4.0):	44%
	Don't Know:		Don't Know:	33%		
Effect on Local CCA Operations <sup>c</sup>	Somewhat Facilitated (4.0):	31%	Somewhat Facilitated (4.0):	25%	Somewhat Facilitated (4.0):	32%
	Don't Know:	28%	Don't Know:	42%	Don't Know:	28%
Level of Cooperation between the DOC and the local Community Corrections Organization <sup>d</sup>	Good (4.0):	36%	Fair/Good (3.5):	42%	Good (4.0):	32%
	Don't Know:	31%	Don't Know:	38%		
Level of Activity of the DOC <sup>e</sup>	Somewhat Active (4.0):	42%	Somewhat Active (4.0):	18%	Somewhat Active (4.0):	40%
			Don't Know:	33%	Don't Know:	32%
Timeliness of DOC Efforts <sup>f</sup>	Timely (4.0):	44%	Timely (4.0):	21%	Slightly Delayed (3.0):	32%
	Don't Know:	33%	Don't Know:	50%	Don't Know:	28%
Has the DOC Provided Adequate Guidelines? <sup>g</sup>	Somewhat Adequate (4.0):	50%	Somewhat Adequate (4.0):	25%	Somewhat Adequate (4.0):	32%
	Don't Know:	31%	Don't Know:	42%	Don't Know:	36%

TABLE 4: Ratings by Local Community Corrections Organization of the Performance of the DOC in Carrying Out Mandates of the Community Corrections Act: Provide Consultation and Technical Assistance in the Development of Comprehensive Plans

Variable	C C A AREA					
	Dodge-Fillmore-Olmsted (n <sub>DFO</sub> =34)		Hennepin (n <sub>HENNY</sub> =26)		Ramsey (n <sub>RAM</sub> =21)	
	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent
Overall Performance of the DOC <sup>b</sup>	Good (4.0):	41%	Fair (3.0):	27%	Poor/Good (3.0):	38%
	Don't Know:	32%	Don't Know:	31%	Don't Know:	38%
Effect on Local CCA Operations <sup>c</sup>	Somewhat Facilitated (4.0):	38%	Somewhat Hindered/Undecided/ Somewhat Facilitated (3.0):	58%	Undecided (3.0):	24%
	Don't Know:	29%	Don't Know:	39%	Don't Know:	48%
Level of Cooperation between the DOC and the Local Community Corrections organization <sup>d</sup>	Good (4.0):	38%	Poor/Fair (2.5):	38%	Fair (3.0):	33%
	Don't Know:	35%	Don't Know:	39%	Don't Know:	48%
Level of Activity Of the DOC <sup>e</sup>	Somewhat Active (4.0):	41%	Somewhat Active (4.0):	19%	Somewhat Passive/ Somewhat Active (3.0):	28%
	Don't Know:	35%	Don't Know:	42%	Don't Know:	48%
Timeliness of DOC Efforts <sup>f</sup>	Timely (4.0):	41%	Late/Slightly Delayed (2.5):	38%	Timely (4.0):	24%
	Don't Know:	44%	Don't Know:	42%	Don't Know:	52%
Has the DOC Provided Adequate Guidelines? <sup>g</sup>	Somewhat Adequate (4.0):	41%	Somewhat Inadequate (3.0):	23%	Somewhat Inadequate (3.0):	14%
	Don't Know:	41%	Don't Know:	42%	Don't Know:	62%

TABLE 4: Ratings by Local Community Corrections Organization of the Performance of the DOC in Carrying Out Mandates of the Community Corrections Act: Provide Consultation and Technical Assistance in the Development of Comprehensive Plans

Variable	C C A AREA					
	Red Lake-Polk-Norman (n <sub>RPN</sub> =24)		Rock-Nobles (n <sub>RN</sub> =16)		Todd-Wadena (n <sub>TW</sub> =21)	
	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent
Overall Performance of the DOC <sup>b</sup>	Good (4.0):	63%	Fair/Good (3.5):	38%	Good (4.0):	48%
	Don't Know:		Don't Know:	25%	Don't Know:	29%
Effect on Local CCA Operations	Somewhat Facilitated (4.0):	42%	Somewhat Facilitated (4.0):	25%	Somewhat Facilitated (4.0):	29%
	Don't Know:	33%	Don't Know:	25%	Don't Know:	29%
Level of Cooperation between the DOC and the Local Community Corrections Organization <sup>d</sup>	Good (4.0):	54%	Fair (3.0):	25%	Excellent (5.0):	24%
			Don't Know:	31%	Don't Know:	29%
Level of Activity of the DOC <sup>e</sup>	Somewhat Active (4.0):	29%	Somewhat Passive (2.0):	25%	Somewhat Active (4.0):	48%
			Don't Know:	31%	Don't Know:	29%
Timeliness of DOC Efforts <sup>f</sup>	Timely (4.0):	54%	Slightly Delayed/Timely(3.5):	38%	Timely (4.0):	43%
	Don't Know:	25%	Don't Know:	44%	Don't Know:	33%
Has the DOC Provided Adequate Guidelines? <sup>g</sup>	Somewhat Adequate (4.0):	42%	Somewhat Adequate (4.0):	38%	Somewhat Inadequate/ Somewhat Adequate (3.5):	38%
			Don't Know:	44%	Don't Know:	38%

TABLE 4: Ratings by Local Community Corrections Organization of the Performance of the DOC in Carrying Out Mandates of the Community Corrections Act: Provide Consultation and Technical Assistance in the Development of Comprehensive Plans

Variable	Washington (n <sub>WASH</sub> =21)	
	Modal Response:	Percent
Overall Performance of the DOC <sup>b</sup>	Excellent (5.0):	38%
Effect on Local CCA Operations <sup>c</sup>	Somewhat Facilitated (4.0):	43%
Level of Cooperation Between the DOC and the Local Community Corrections Organization <sup>d</sup>	Good (4.0):	43%
Level of Activity of the DOC <sup>e</sup>	Somewhat Active (4.0):	43%
Timeliness of DOC Efforts <sup>f</sup>	Timely (4.0): Don't Know:	62% 29%
Has the DOC Provided Adequate Guidelines? <sup>g</sup>	Somewhat Adequate (4.0): Don't Know:	29% 38%



#### a. Suggestions for Resolution

As far as the proactive provision of technical assistance and technical information influences the implementation of the local planning function, partial resolution involves the negotiation of technical assistance schedules between community corrections organizations and the DOC. Suggestion has been offered that, where planning resources and expertise are needed locally, the DOC actually provide them—for example, send in a planner to assist in the preparation of or develop the comprehensive plans. This is considered essential for CCA areas that do not have sufficient funds to maintain planning staff, or where the planning function is one associated with the CCA administrator or a committee of the advisory board.

Insufficiently frequent technical assistance is a mediating issue. An underlying issue is need for training in formal planning models and methods for CCA specialists, CCA administrators and staff, and advisory board members. Consequently, the suggestion that must be made here is to train CCA specialists in planning models and methods as well as in allied areas (e.g., data analysis and interpretation). Where, for reasons of time constraints or differing commitments, the CCA specialists cannot provide the amount of technical assistance deemed necessary, alternate planning resources should be accessed. For example, planning consultants could be maintained by DOC or MACCAC and dispersed to the local community corrections organizations when there is need for their services.

Regardless of the existence of technical experts in planning, CCA staff and advisory board members should receive training in various aspects of the planning function. As with the CCA specialists, the training should include information about and experience with related areas such as information systems, data analysis and interpretation, and cost analysis. Information about and experience in planning methods and models would facilitate the planning process in a number of ways. As illustration, less time might be wasted in deciding how best to display planning data used in making a major decision about resource allocation and utilization. The training would also permit individuals carrying out planning to communicate efficiently since common terminology would be used.

Finally, the DOC should restructure planning guidelines if the newly-published guidelines fail to provide local community corrections organizations with the information on content and format required to construct the comprehensive plans. A criticism of the guidelines has been that they do not specify a standard format nor do they call for uniform units of analysis, similar data elements, types of analysis included, or methods of data display. This is seen to hinder analysis and comparison of offender needs, services, cost, and cost-effectiveness across local community corrections organizations.

The planning task force that has been recommended should study the problems and issues pertaining to: 1) the scheduling of technical assistance; 2) training of CCA specialists, CCA administrators, staff, and advisory board members; 3) the use of planning consultants; and 4) DOC planning guidelines. The planning task force should also examine the possible role the DOC or an organization such as MACCAC might play in coordinating the use of planners and planning consultants and/or in sponsoring or coordinating training in planning models and methods.

#### 5. Issues Associated with the Production of Comprehensive Plans

The fifth issue that has arisen in regard to the planning function assumed by local community corrections organizations is associated with inadequate or inefficient utilization of internal resources in the production of comprehensive plans. In virtually

all CCA areas, individuals think repetition of the entire planning process—particularly production of the comprehensive plans—on an annual basis is duplicative, is time-consuming, and represents inefficient utilization of staff resources.

A second major problem associated with the yearly plans is the fact that, especially for new programs or in situations where available data are scarce, there is insufficient time to gather, analyze and incorporate data, results, and recommendations into the next year's plans. Decisions about inclusion of programs or services in subsequent annual plans must often be made in the absence of objective data pertaining to effectiveness, cost, cost-effectiveness, assessed needs of the offender, or assessed needs of the community. Incomplete data mean that planning decisions are made subjectively and that resources may not be being utilized effectively or efficiently.

A third problem related to the production of the annual comprehensive plans results from different state and local budgeting cycles. The budgeting cycle of the former is based upon a fiscal year, that of the latter, upon a calendar year. This disparity plus the deadline for submission of comprehensive plans to the DOC mean that a subsequent year's budget is actually estimated six to eighteen months in advance. CCA administrators claim that variables such as level of government spending, changing offender and community needs, inflation, and lack of information on program effectiveness make estimation for that period of time imprecise and sometimes unrealistic.

#### a. Suggestions for Resolution

It is suggested that a multi-year planning cycle be adopted in which comprehensive plans are generated by local community corrections organizations every two years. Because of the existence of largely uncontrolled factors, however, offender needs as well as resource availability and purchasing power will continue to be difficult to estimate for more than a 12-month period. Because of this, an annual update to the plan should be incorporated into the cycle. The primary component of the update would be the second year's budget and other information as appropriate. As with the other issues discussed, it is suggested that the planning task force explore the feasibility of the suggestion and that they transmit their findings to DOC, including possible recommendations for modification in the CCA.

#### 6. Inadequate Identification/Integration/Utilization of Cross-System Resources

The opinion of CCA administrators, staff, advisory board members, and CCA specialists is that comprehensive cross-system planning has not been fully instituted in conjunction with implementation of the CCA.

The lack of appropriate identification, integration, and utilization of available community resources occurs because community corrections planners or individuals responsible for planning do not routinely work with county planners, human services planners, social services planners, and the like. (In many instances, there are no planners.) Thus, continuity of planning effort is absent or incomplete. As a result, in some instances duplicative programming exists in the community which represents a waste of resources. In other instances, correctional service gaps are present either because available community resources have not been identified or corrections resources which might be allocated for other purposes are expended for ineffective or inappropriate programming. (Before continuing, it is well to point out that many educational services, mental health services, human services and social services are

simply not offered through public auspices in CCA counties with relatively small populations.)

#### a. Suggestions for Resolution

The Community Corrections Act mandates the delivery of a full range of services for use within local community corrections organizations. To the extent that this is not being accomplished through the planning function of local community corrections organizations, neither the letter nor the philosophy of the CCA are being fulfilled. Whether cross-system planning is absent or whether it is ineffective, the result is less than a comprehensive range of services for the offender. If the CCA model is valid, the results of a noncomprehensive range of correctional services will be the retention of fewer offenders in the community and the successful rehabilitation of fewer of the offenders who are actually retained.

By and large, a number of the suggestions deemed appropriate have been presented above. Specifically, planners from the different fields incorporated within CCA should be included in ad hoc committees of advisory boards in order to achieve cross-system planning. Where planners are nonexistent, persons responsible for carrying out analogous activities should sit on the committee.

Where a full range of public services is not available, an inter-governmental task force should be convened to examine alternatives for the establishment of the services. The local community corrections organizations that find themselves facing this situation should assume a leadership role in alleviating it as a major obstacle to community corrections planning.

The recommendation to achieve integration of resources implies that appropriate resources have been identified as the result of a systematic planning process. The fact is that there is little objective evidence that needs assessments are conducted regularly to identify offender needs and to subsequently identify and access resources appropriate to meet those needs. The implication is that less than an optimal match exists between offender needs and the resources required to alleviate those needs. The additional planning recommendation made at this point is to initiate or continue offender needs assessments to ensure that the necessary range of cross-system services is made available to community corrections organization.

As a final point, a significant barrier to the provision of cross-system services may be an inadequate delivery system. (The questions of quality of treatment and effectiveness of treatment are not addressed here.) In this instance, the resources needed would be available, but mechanisms for delivering those resources to offenders would either not exist or work. For example, clients in jail treatment programs might need to complete their educations. Adult Basic Education courses could be made available within the institutional setting if cooperative agreement with the county board of education were established. Means of ensuring that problems associated with the delivery of services are circumvented fall within the realm of planning activities. For example, cooperative agreements ranging from letters of intent to purchase of service contracts are means for ensuring the efficient delivery of cross-system services. To the extent that problems in the actual delivery of services to offenders exist and can be dealt with through the implementation of planning strategies, they should be considered by the planning task force in its attempt to ameliorate planning problems and issues and to implement suggestions for resolution derived.

### 7. Turf Problems/Lack of a Community Corrections Constituency

In a number of instances, cross-system planning efforts have not been entirely successful because of the apparent unwillingness of some administrators to operate in situations where it might become necessary to compete for, justify, or share resources or power.

The extent to which such "turf" problems block the acquisition and provision of a full range of services to the offender is inversely related to the degree that a cross-system community corrections constituency exists. It is the opinion of a number of individuals participating in community corrections at the local level that a constituency has not been planned for and developed, particularly with respect to citizen involvement and the involvement of business leaders. Another line of thought is that a strong community corrections constituency does not exist within the human services field, the social services field, and within the general community because of the belief that community-based corrections is not public policy; rather, it is a secular and somehow illegitimate aggregation of programs for offenders. In either instance, the results are incomplete integration of resources and, presumably, less than maximal effect in facilitating retention of offenders and rehabilitating the same.

#### a. Suggestions for Resolution

The suggestions for resolution of turf and constituency issues involve advocacy and education. The advisory boards of the local community corrections organizations should be the first advocates for community-based corrections. They should maintain responsibility to communicate with and provide feedback to their departments, agencies, organizations, businesses, and the general public about community-based corrections. That is, they should build and expand the community corrections constituency. Conversely, they should provide community corrections organizations with input and feedback about their fields and encourage cooperative interaction. As far as cross-systems planning is concerned they should assure the cooperative planning process both occurs and is implemented. Finally, they should participate in the development of public education programs to transmit information to the general public about the CCA as a component of public corrections policy and to secure community input/cooperation in implementing the CCA.

As far as turf problems are concerned, many might be resolved through integration of governmental functions and responsibilities. Ostensibly, this would reduce extraneous duplication and overlap and facilitate the delivery of goods and services. Assessment of the feasibility of governmental reorganization requires long periods of time to complete as well as the expenditure of large amounts of resources. For the long run, it is recommended that community corrections advocates consider the support of governmental reorganization studies in their CCA areas. In the short run, it is thought that frequent interaction and negotiation will achieve the greatest effect in the implementation of cross-system planning. The overall strategies and activities that could be employed to achieve cross-system planning should be developed by the planning task force.

### 8. Inadequate Data Collection/Data Elements

The problems and issues associated with data used for planning purposes are: 1) inadequate data based upon the conduct of systematic needs assessments; 2) availability of data; 3) comparability of data; and 4) the reporting of data. Auxiliary problems and issues are the: 5) amounts of staff resources required to collect data; 6) inability to fund research staff; 7) cost of collecting and analyzing data; and the 8) cost of developing and maintaining computer-based information systems. These

problems and issues are appropriately considered within the section that addresses research/information systems.

### C. Planning: Summary and Conclusions

Planning is a function of local community corrections organizations that has been partially implemented. The average planning implementation score is sixty-four percent. The planning that occurs is seen (by CCA administrators, staff, advisory board members, and/or CCA specialists) to reflect developing attempts to systematically identify the needs of both offender and the community, and, to integrate cross-system resources into correctional services to meet those needs. Additional perceived accomplishments of planning are coordination of elements of the criminal justice system; reduction in duplicative correctional services, human services, and social services programming; and the capacity to assess cost and cost-effectiveness in generating planning decisions. By way of comparison, pre-CCA planning efforts are considered to be virtually nonexistent in a majority of CCA areas. The pre-CCA planning is considered sketchy, did not address all components of the criminal justice system, and failed to identify and access external programming and related resources in a comprehensive fashion.

Available quantitative data do indicate that to some extent, cross-system resources are being integrated into use by local community corrections organizations. No objective data exist at this time with which to assess the adequacy with which the correctional needs of the offender and the community are being met, however. This latter statement refers both to the range of correctional services funded by local community corrections organizations as well as to the range of other services (e.g., human services, social services) potentially available through noncorrections resources. Similarly, no quantitative data are available which suggest that duplicative corrections or human/social services programming, if it existed, has or has not been reduced by the planning activities undertaken by local community corrections organizations.

The average planning implementation score of sixty-four percent. This planning index as well as associated qualitative data indicate that problems and issues exist which have hindered full implementation of the planning function within local community corrections organizations. To be specific, eight planning issues have been delineated: 1) unclear roles and responsibilities of staff and advisory board members; 2) lack of formal training in planning models and methods/inconsistent terminology; 3) extreme levels of involvement by the judiciary/probation and parole officers (over-involvement versus abstention); 4) inadequate DOC planning guidelines/technical assistance; 5) issues centering around the production of comprehensive plans (e.g., inefficient use of staff resources, scarcity of data); 6) inadequate identification/integration/utilization of cross-system resources; 7) turf problems/lack of a community corrections constituency; and 8) inadequate data collection/data elements.

The operation of these issues is thought, by survey respondents, to hinder communication and cooperation in executing the planning function within local community corrections organizations. Across components of the criminal justice system and across a diversity of educational, medical, social services, and human services areas, the existence of these issues discourages the cross-system cooperation and planning that should accomplish integration of resources and reduction in duplicative programming. That is, full cooperation and mutual effort are not expended to yield cross-system planning and subsequent programming. No objective data can be presented with which to estimate the losses or costs incurred due to the influence of the issues.

A variety of suggestions for problem and issue resolution is proposed, including the composition of a planning task force and an ad hoc committee of cross-system planners to achieve integration of cross-system resources into local community corrections organizations. Other suggestions are the conduct of formal needs assessments and inclusion of these data into comprehensive plans; provision of training in planning models and methods; renegotiation of the role of the DOC in generating guidelines and providing technical assistance; and a change to a two-year planning cycle with an annual program and budget update.

The suggestions for problem/issue resolution are outlined in Table 5. To the extent that significant decision makers agree upon the feasibility of implementation, the suggestions should: 1) yield modification in the Community Corrections Act and the rules promulgated; and 2) subsequently engender full implementation of the relevant CCA objective. Across rows, Table 5 shows which planning issues and associated suggestions for resolution have been identified or sanctioned by each local community corrections organizations. Columns in Table 5 indicate the extent of consensus across the local community corrections organizations with respect to both issues and correspondent suggestions for resolution. For example, inefficient utilization of staff resources in the yearly production of comprehensive plans plus insufficient data (about needs, cost, effectiveness, and/or cost-effectiveness) as planning issues have been factors instrumental in the formulation of the recommendation of a two-year planning cycle. A two-year planning cycle is sanctioned by eleven of the twelve CCA areas.

Table 5 is an easily assimilated mechanism for assessing consensus about the future actions that might be undertaken to maximize the probability of fully implementing the local planning function. Note that, in all instances, fifty percent or more of the local community corrections organizations sanction the planning changes presented. As a final note, it must be reiterated that Table 5 should serve as a guideline for state and local decision makers to facilitate a change within the CCA planning function.

## IV. RESULTS: TRAINING

As was the case with the planning function, discussion of the achievements and changes observed within the training function is divided into two sections. The first section covers the perceived achievements and changes measured as opinions of individuals involved in community corrections at the local level. The second section covers quantitative measures of the training function, e.g., ratings of training sponsored as well as an average training implementation score.

### A. Training: Achievements and Changes

#### 1. Perceived Achievements and Changes

The primary achievements that have been realized through the training sponsored or taken advantage of by local community corrections organizations are perceived by survey respondents to be increased general knowledge, information, and understanding about the criminal justice system. Individuals, in the main, acknowledge the need for ongoing training as an important means to attaining desired ends, e.g., the provision of high quality treatment to offenders and the expansion of career opportunities. Nevertheless, an amount of passivity and resistance are acknowledged to exist that hinder organizational growth and development.

TABLE 5: Suggested Changes in the Planning Function by Local Community Corrections Organization

CCA Area	Two-Year Plan (5,8) <sup>a</sup>	Conduct Needs Assessments/ Collect Pertinent Data (5,6,8)	Change Composition of Advisory Board (1,3,6)	Increase Participation by Advisory Board (3,6,7)	Increase Cooperation/ Create a Constituency (3,6,7)	Encourage DOC to Produce Uniform Guidelines (4)	Secure Additional Technical Assistance from DOC (2,4)	Responsibility Charting/ Provide Orientation and Training in Planning Models and Methods (2,4)
5th	•	•	•	•	•	•	•	•
Anoka	•		•	•			•	•
ARC	•				•	•		
Blue Earth	•	•			•		•	
Crow Wing-Morrison	•	•	•	•	•	•	•	
Dodge-Fillmore-Olmsted	•	•		•	•		•	•
Hennepin	•	•	•	•	•	•	•	•
Ramsey				•		•	•	•
Red Lake-Polk-Norman	•						•	
Rock-Nobles	•	•	•	•			•	•
Todd-Wadena	•			•		•		
Washington	•	•	•		•	•	•	•

<sup>a</sup>Numbers in parentheses refer to the planning issues ostensibly resolved if the suggested changes are implemented:

- 1 - Unclear roles and responsibilities of staff and advisory board members
- 2 - Lack of formal training in planning models and methods/inconsistent terminology
- 3 - Extreme levels of involvement by the judiciary/probation and parole officers (over-involvement versus abstention)
- 4 - Inadequate DOC planning guidelines/technical assistance
- 5 - Issues centering around the production of comprehensive plans (e.g., inefficient use of staff resources, scarcity of data)
- 6 - Inadequate identification/integration/utilization of cross-system resources
- 7 - Turf problems/lack of a community corrections constituency
- 8 - Inadequate data collection/data elements



The availability of training funds is seen to provide individuals involved with CCA at the local level with the means to attain personal and professional development. The existence of training monies allows for the sponsorship of training activities, notably, inservice training programs. What is more, available funds can be expended for training resources external to the local community corrections organizations. Respondents thought that the ability to do this greatly facilitates CCA operation. Finally, training monies are seen to be equitably distributed, with, however, some reservation about the influence of county boards upon utilization.

By way of comparison, there was little or no training sponsored or funded prior to implementation of the Community Corrections Act even in areas in which associations of criminal justice professionals existed previously. Additionally, post-CCA training is perceived to be of higher quality, although the usefulness of the training has not been overwhelmingly supported (Table 6).

## 2. Quantitative Measures of Training

Overall ratings of various aspects of the training sponsored by local community corrections organizations are presented in Table 6. Modal ratings by CCA administrators, staff (including probation and parole officers), advisory board members, and CCA specialists show that the training sponsored has been good, clear, but only somewhat useful and somewhat timely. No group of individuals responding thought that enough training opportunities have been provided. (The results of analysis of variables by subgroup are not presented here, but little disparity of opinion was exhibited by subgroup across CCA areas.)

Table 7 displays quantitative data on indices of implementation of the training function by local community corrections organizations. An average training implementation score of seventy-seven percent is observed indicating that the training function has been implemented, at least to the extent that the training function is reliably assessed through application of the measures of training employed. (No independent or external judgments of the quality or effectiveness of training sponsored were made.)

Two-thirds of the local community corrections organizations have a staff trainer or coordinator and a majority maintain a training committee of the advisory board. Similarly, all but one CCA area maintain a written training policy statement and most have established written training guidelines and criteria.

In terms of the conduct of needs assessments and the production of individual and organizational training plans designed to match training needs with action strategies, the following has been found. Ninety-two percent of the local community corrections organizations conduct training needs assessments (informal or formal) for staff and/or advisory board members. Concurrently, at least a majority of CCA areas annually produce written training plans for staff/advisory board members and/or an organizational training plan. An effort to match training needs with general strategies to meet those needs is undertaken by a majority of local community corrections organizations.

As far as the sponsoring of inservice training programs is concerned, Table 7 reveals that all local community corrections organizations have sponsored inservice training programs for CCA staff and for advisory board members. Topics of the training activities have varied, but have included such things as lectures, site visits, and workshops. Trainers have sometimes been authority sources from within the local community corrections organizations and sometimes they have been consultants

TABLE 6: Ratings of Aspects of Training Sponsored or Funded by Local Community Corrections Organization

Variable	C C A AREA							
	All (n <sub>All</sub> =294)		GW (n <sub>GW</sub> =23)		Anoka (n <sub>ANK</sub> =23)		ARC (n <sub>ARC</sub> =36)	
	Modal Response:	Percent <sup>a</sup>	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent
Usefulness of Training <sup>b</sup>	Somewhat Useful (3.0):	31%	Somewhat Useful (3.0):	39%	Somewhat Useful (3.0):	57%	Very Useful (4.0):	42%
Timeliness of Training <sup>c</sup>	Somewhat Timely (3.0):	42%	Somewhat Timely (3.0):	48%	Somewhat Timely (3.0):	57%	Somewhat Timely (3.0):	42%
Clarity of Information Presented <sup>d</sup>	Very Clear (4.0):	43%	Somewhat/Very Clear (3.5):	65%	Very Clear (4.0):	48%	Very Clear (4.0):	53%
Has Enough Training Been Provided for Advisory Board? <sup>e</sup>	Yes-To Some Extent (2.0):	32%	Yes-To Some Extent (2.0):	44%	Yes-To Some Extent (2.0):	48%	Yes-To Some Extent (2.0):	36%
Has Enough Training Been Provided for Local CCA Staff? <sup>f</sup>	Yes-Definitely (3.0):	36%	Yes-Definitely (3.0):	57%	Yes-Definitely (3.0):	44%	Yes-Definitely (3.0):	44%
Quality of Training <sup>g</sup>	Good (4.0):	44%	Good (4.0):	44%	Good (4.0):	57%	Good (4.0):	47%

<sup>a</sup>Percentage of respondents selecting modal response category.

<sup>b</sup>Rating scale ranged from 1 to 4, where "1" is "not at all useful," "2" is "slightly useful," "3" is "somewhat useful," "4" is "very useful."

<sup>c</sup>Rating scale ranged from 1 to 4, where "1" is "very late," "2" is "slightly late," "3" is "somewhat timely," "4" is "very timely."

<sup>d</sup>Rating scale ranged from 1 to 4, where "1" is "not at all clear," "2" is "slightly clear," "3" is "somewhat clear," "4" is "very clear."

<sup>e</sup>Rating scale ranged from 1 to 3, where "1" is "no, not enough," "2" is "yes, to some extent," "3" is "yes, definitely."

<sup>f</sup>Rating scale ranged from 1 to 3, where "1" is "no, not enough," "2" is "yes, to some extent," "3" is "yes, definitely."

<sup>g</sup>Rating scale ranged from 1 to 5, where "1" is "bad," "2" is "poor," "3" is "fair," "4" is "good," "5" is "excellent."

TABLE 6: Ratings of Aspects of Training Sponsored or Funded by Local Community Corrections Organization

Variable	C C A AREA							
	Blue Earth (n <sub>BE</sub> =24)		Crow Wing-Morrison (n <sub>CWM</sub> =25)		Dodge-Fillmore-Olmsted (n <sub>DFO</sub> =34)		Hennepin (n <sub>HENN</sub> =26)	
	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent
Usefulness of Training <sup>b</sup>	Slightly Useful (2.0):	29%	Somewhat Useful (3.0):	36%	Somewhat/Very Useful (3.5):	79%	Not At All Useful (1.0):	23%
Timeliness of Training <sup>c</sup>	Somewhat Timely (3.0):	25%	Somewhat Timely (3.0):	36%	Somewhat/Very Timely (3.5):	85%	Somewhat Timely (3.0):	35%
Clarity of Information Presented <sup>d</sup>	Somewhat Clear (3.0):	46%	Very Clear (4.0):	32%	Very Clear (4.0):	50%	Very Clear (4.0):	31%
Has Enough Training Been Provided for Advisory Board? <sup>e</sup>	No-Not Enough (1.0):	54%	No-Not Enough (1.0):	40%	Yes-To Some Extent (2.0):	53%	No-Not Enough (1.0):	39%
Has Enough Training Been Provided for local CCA-Staff? <sup>f</sup>	No-Not Enough (1.0):	25%	Yes-Definitely (3.0):	36%	Yes-Definitely (3.0):	50%	No-Not Enough (1.0):	19%
Quality of Training <sup>g</sup>	Good (4.0):	42%	Good (4.0):	36%	Good (4.0):	59%	Fair/Good (3.5):	46%

TABLE 6: Ratings of Aspects of Training Sponsored or Funded by Local Community Corrections Organization

Variable	C C A AREA							
	Ramsey (n <sub>RAM</sub> =21)		Red Lake-Polk-Norman (n <sub>RPN</sub> =24)		Rock-Nobles (n <sub>RN</sub> =16)		Todd-Wadena (n <sub>TW</sub> =21)	
	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent
Usefulness of Training <sup>b</sup>	Very Useful (4.0):	29%	Somewhat/Very Useful (3.5):	58%	Somewhat Useful (3.0):	38%	Somewhat Useful (3.0):	43%
Timeliness of Training <sup>c</sup>	Somewhat Timely (3.0):	38%	Somewhat/Very Timely (3.5):	63%	Somewhat Timely (3.0):	38%	Somewhat Timely (3.0):	52%
Clarity of Information Presented <sup>d</sup>	Very Clear (4.0):	52%	Very Clear (4.0):	54%	Somewhat Clear (3.0):	25%	Very Clear (4.0):	48%
Has Enough Training Been Provided for Advisory Board? <sup>e</sup>	Yes-To Some Extent (2.0):	29%	Yes-To Some Extent (2.0):	38%	No-Not Enough (1.0):	50%	Yes-Definitely (3.0):	33%
Has Enough Training Been Provided for Local CCA Staff? <sup>f</sup>	Yes-To Some Extent (2.0):	33%	Yes-Definitely (3.0):	50%	Yes-To Some Extent (2.0):	31%	Yes-Definitely (3.0):	52%
Quality of Training <sup>g</sup>	Good (4.0):	43%	Good (4.0):	42%	Fair (3.0):	31%	Good (4.0):	48%

TABLE 6: Ratings of Aspects of Training Sponsored or Funded by Local Community Corrections Organization

C C A AREA		
Variable <sup>b</sup>	Washington (n <sub>WASH</sub> =21)	
	Modal Response:	Percent
Usefulness of Training	Very Useful (4.0):	48%
Timeliness of Training <sup>c</sup>	Somewhat Timely (3.0):	62%
Clarity of Information Presented <sup>d</sup>	Very Clear (4.0):	67%
Has Enough Training Been Provided for Advisory Board?	Yes-To Some Extent (2.0):	33%
Has Enough Training Been Provided for Local CCA Staff?	Yes-To Some Extent (2.0):	38%
Quality of Trainings <sup>e</sup>	Good (4.0):	67%



brought in to offer a program in a specialized topical area or field. Little inservice training is held for volunteers. Finally, a majority of local community corrections organizations have not sponsored educational or training programs for the general public. These latter two findings suggest that a deficient area of organizational structure may be the inadequate incorporation of volunteers into local community corrections organizations and inadequate development of a community corrections constituency of citizens. The problem of an inadequate community corrections constituency has been discussed in the section of this document addressing corrections planning.

All in all, the qualitative and quantitative information presented above reinforces the judgment that the training function has been implemented at the local level.

#### B. Training: Problems and Issues

Four general categories of problems and issues have been delineated by CCA administrators and staff, CCA specialists, and advisory board members: 1) assessment/evaluation; 2) management; 3) policy/procedures; and 4) funding.

##### 1. Inadequate Training Policy, Guidelines, and Criteria Established by the DOC and by Local Community Corrections Organizations

Inadequate training policy, guidelines, and criteria are considered the greatest obstacles to full implementation of the training function at the local level. As far as the DOC is concerned, the CCA rules promulgated as well as the training guidelines and criteria established are thought to be vague and nonspecific by survey respondents. Criteria for the planning, assessment, delivery, and evaluation of training are inadequate or nonexistent. This situation has not served local community corrections organizations well, most notably those which maintained no analogous organizations prior to joining CCA. The lack of or inadequate local training policy, guidelines, and criteria have a number of detrimental effects. First, they inhibit development of individualized training plans as well as an organization's training plan and program. Obviously, this hinders organizational development by not encouraging planned change. As far as advisory board members and CCA staff are concerned, the absence of or inadequate training policy, guidelines, and criteria provide minimum guidance and assistance in securing appropriate training. Inadequate guidelines, for example, cause confusion about what training activities are sanctioned and who approves training fees for activities held outside the CCA area.

##### a. Suggestions for Resolution

Two suggestions are made. First, the DOC should, in cooperation with members of local community corrections organizations, conduct a survey to identify cogent issues pertaining to training policy, guidelines, and criteria. Second, a training task force consisting of appropriate DOC staff and members of local community corrections organizations should be formed to establish and implement an action plan to resolve the issues which surface. For example, the training task force could establish training policy, guidelines, and criteria. CCA rules could be modified to incorporate a set of training rules, which the training task force could also formulate. In the future, the training task force should stand to ensure an ongoing relationship between state and local units to facilitate the development and institution of the training function within local community corrections organizations. The task force and/or the DOC could function in a variety of other ways, as suggested throughout the remainder of this section.

**TABLE 7: Indicators of Implementation of the Training Function by Local Community Corrections Organization**

CCA Area	Staff Trainer/Coordinator?	Training Committee?	Maintain Written Local Training Policy Statement?	Maintain Written Local Training Guidelines/Criteria?	Conduct Training Needs Assessments?	Produce Annual Written Individual Training Plans?	Produce Annual Written Organizational Training Plans?	Sponsor Inservice Training Programs for:				Overall Rating of Training Sponsored?	Total Training Score	Training Implementation Score <sup>c,d</sup>	Rank
								Staff?	Advisory Board?	Volunteers?	General Public?				
SW	Yes	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	No	+	9	755 (9/12)	8
Anoka	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	+	11	925 (11/12)	5
ARC	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	+	11	925 (11/12)	5
Blue Earth	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	-	10	835 (10/12)	6
Crow Wing-Sherburne	Yes	Yes	No	No	No	No	No	Yes	No	No	No	+	4	335 (4/12)	12
Dodge-Fillmore-DiMond	No	No	Yes	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	+	9	755 (9/12)	8
Hennepin	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	-	11	925 (11/12)	3
Ramsey	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	+	11	925 (11/12)	3
Red Lake-Polk-Norman	Yes	No	Yes	Yes	Yes	No	No	Yes	Yes	Yes	No	+	8	675 (8/12)	10
Rock-Hoopes	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	+	11	925 (11/12)	3
Todd-Wadena	No	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	Yes	+	9	755 (9/12)	8
Washington	No	Yes	Yes	No	Yes	Yes	No	Yes	Yes	No	No	+	7	585 (7/12)	11
<b>AVERAGE:</b>												9.3	775		

<sup>a</sup>Overall rating is derived from the opinions of advisory board members, the CCA administrators and staff, and the CCA specialist for each CCA area. Refer to Table 6.  
<sup>b</sup>Total training score is computed as the sum of "yes" and "no" measures observed within each CCA area.  
<sup>c</sup>Training implementation score = Total training score ÷ Maximum training score (12 points).  
<sup>d</sup>Training implementation scores evaluate level of effort but do not reflect an overall assessment of quality, effectiveness, or efficiency.

## 2. Inadequate Assessment of Training Needs/Insufficient Training Plans

Systematic ongoing needs assessments are not being undertaken, precluding the development and modification of training plans and programs and ultimately restricting organizational development. As far as local community corrections organizations *per se* are concerned, absence of member-wide needs assessments is associated with inadequate training plans and programs. This state hinders the attainment of organizational goals and objectives as a direct function of the dependency of their achievement upon developing skills and abilities. The lack of needs assessment or noncomprehensive assessment is seen to result from the absence of an individual (e.g., training officer) skilled in the identification of needs of both individuals and the organizations. To some extent, it is also thought to result from incomplete commitment to training by administrators as managers of organizational functions. Finally, in some cases, the person responsible for training is appraised as a hindrance because of insufficient training and experience in assessment, development, and evaluation of training.

### a. Suggestions for Resolution

Five suggestions are put forth as solutions to the problems of insufficient assessment of training needs and insufficient development of training plans. This first is personal and administrative commitment to training as a primary mechanism for organizational development. Of course, commitment is a precursor to action, and the second suggestion deemed appropriate is appointment of a training officer/coordinator and a training committee comprised (at minimum) of CCA staff and advisory board members. Third, training policy, guidelines, and criteria should be established or appropriately modified to meet current organizational requirements.

Once these things have been accomplished, even in rudimentary form, the fourth suggestion should be implemented. Whatever resources (internal and external) that are necessary to increase the skill levels of training officers/coordinators or committee members to those appropriate to meet the training needs of the community corrections organizations should be accessed. Those resources should be employed on an ongoing basis as deemed necessary or should be routinely employed to monitor and evaluate progress in training.

Assessment of training needs and development of training plans require many skills which are analogous across fields and types of organizations. Thus, it is suggested that the training task force examine cooperative alternatives for the education of training officers/committees. It is further suggested that training consultants (such as NIC or the American Society of Training and Development) be brought in to facilitate the work of the training task force and to provide regularly scheduled technical assistance to the local community corrections organizations. The possible role and changing role of the DOC in the area of training should be examined by the training task force.

## 3. Resistance/Passivity/Time Constraints

A crucial barrier to securing sufficient training involves a set of personal factors and constraints. Individuals, such as CCA advisory board members, view time as the primary constraint restricting their participation in training activities. While it is recognized that training is necessary for personal and career development, it often takes a backseat to daily functions.

Passivity and active resistance are also thought to be factors which affect training. Maintenance of the *status quo* and differing commitments are concomitants of the former. A realm of factors contribute to the latter—belief that training is not particularly useful (Table 6), that undue influence is being exercised by administrators upon the types of training being offered, or that available training is inadequate to meet personal needs. In terms of organizational development, passivity and resistance are detrimental both from the point of organizational planning and the delivery of services. Where skills levels lag behind the state of the art, effectiveness and efficiency are altered with consequences ranging from poor morale to disrupted delivery of services.

### a. Suggestions for Resolution

A range of suggestions is offered here. As a starting point, it does appear crucial that training policy, guidelines, and criteria be established or modified which can serve as the framework to achieve the training function. Once this has been done, the next step is the acquisition and education of a training officer/coordinator and training committee. Either by themselves (if fully trained and experienced) or working in conjunction with consultants, an organizational training plan should be established by the training officer, coordinator, and/or the training committee.

Steps such as the following should be adopted to derive training plans. First, group discussions and individual sessions should be held with the members of local community corrections organizations. Topics of the discussions should include the philosophy of training, the organization's training policy, and how both merge with or differ from individual perceptions of the applicability of training to personal and career development. As a result of these discussions and the conduct of formal training needs assessments, individual training plans should be developed for each person. The training plans derived should meet training needs and conform to the organization's training criteria and guidelines, particularly time lines for completions. Following this, the training officer or equivalent should review the training plans with the individuals for whom they were developed. Benefits and costs of following or not following the training plans should be emphasized. It is thought that combining input from the potential recipient of training with feedback based upon a systematic assessment of training needs will serve an important informational function that will encourage acquisition of training.

Another suggestion to reduce passivity and resistance is to provide individuals involved with community corrections at the local level with information about time management, especially about procedures to manage time effectively. Training time should be scheduled in everyone's workplan—convention is five percent to ten percent of the manhours worked. Optimally, the scheduling of time for training plus learning how to manage work time should encourage participation in training activities.

Two final suggestions are plausible. First, a mechanism should be established to advertise training opportunities. This would allow individuals to readily choose among a variety of offerings which fit into a training plan with a minimum of effort. The end here is to match training activity with its audience or target group.

Second, inservice training opportunities should be increased, since it is the opinion of a number of individuals involved with CCA that training activities held locally reduce the amount of travel required and can often be fit into busy schedules with little disruption. Further, the training opportunities can be offered to a greater number of individuals (e.g., volunteers, general public, treatment providers) and realize a

considerable savings in resources. Of course, it must be pointed out that the suggestion made elsewhere in this section to cooperatively sponsor training activities will involve tradeoffs if each local community corrections organization attempts to increase the number of inservice training opportunities. Tradeoffs that seem to be viable are to alternate the locations of training activities and to set aside blocks of time per year when advisory boards, staff, and CCA administrators can simultaneously take part in training activities.

#### 4. Inadequate Training Programs

Inadequate training programs and rudimentary training delivery systems are also viewed as major barriers to the acquisition of training. As discussed, neither advisory board members, CCA staff, nor CCA specialists think that enough training has been sponsored by local community corrections organizations. The most pronounced gap lies in the area of inservice training. For example, specific topical areas that individuals think should be covered are: a) planning models and methods; b) information systems; c) data analysis and interpretation; d) cost analysis; and e) cost-effectiveness analysis. Besides inadequate needs assessment, training policies, guidelines, criteria, and training plans, a variety of factors have contributed to the evolution of these issues.

##### a. Absence of a Training Officer, Coordinator or Training Committee/Insufficiently Skilled Training Officer or Coordinator

Without the allocation of staff/advisory board members to coordinate the delivery of training plans/programs, the probability that either will be successfully implemented on a regular basis is minimal. Beyond the establishment of a training policy that forms the basis to carry out the training function, the first steps to successful implementation are administrative commitment to training plus the selection or appointment of a person whose formal responsibilities include assessment of training needs, establishment of training plans, program development, coordination, communication, information management, and evaluation.

For those local community corrections organizations that do have a training officer/coordinator, skill levels are seen to vary widely and, overall, to need improvement. It is thought that insufficient skill in assessing training needs, developing training plans and programs, as well as implementing or evaluating the same, inhibit ideal levels of progress in implementing the training function.

##### 1) Suggestions for Resolution

For all local community corrections organizations, a training officer or coordinator is critical to implementation of the organizational training function. Therefore, it is strongly suggested that such a person be appointed or that an active training committee be convened and maintained. If funds to support training staff cannot be provided from administrative monies, alternate funding mechanisms should be explored. As illustration, the local training allocation itself might be one source of funds. Rather than maintain training staff, consultants might also be brought in to develop organizational training plans and programs. In an analogous vein, cross-system resource sharing might be explored. For instance, training officers in fields which have similar goals and objectives but different target populations than community corrections organizations might be available to offer their expertise to the community corrections field. Every effort should be made to acquire and train a skilled individual to manage implementation of the training function at the local level.

If a training officer/coordinator is on staff, then continuing education in training methods and procedures is crucial. Ongoing education is a component of the training officer/coordinator's workplan that should be emphasized because the assessment, development, and evaluation of training is a complicated, changing field.

##### b. Lack of Media Coverage of Training Opportunities

The lack of media coverage of area, regional, state, and national training activities is considered to be a major barrier to training by survey respondents. Given daily commitments, a majority of individuals involved in CCA at the local level do not think they have time to search exhaustively for and review training opportunities. Whatever time they allocate for training should be spent in actually obtaining that training. Whether it is local or nonlocal training opportunities that are being discussed, the body of opinion is that media coverage of scheduled training activities is poor.

##### 1) Suggestions for Resolution

As far as lack of media coverage of training opportunities for members of local community corrections organizations is concerned, solutions for the resolution of the issue must be carefully considered. While it is readily apparent that a suggestion for the establishment of a permanent medium (e.g., newsletter) is a valid one, other factors suggest that a secular communication mode may not be optimal in the long run. The philosophy behind the Community Corrections Act is that offender and community needs can best be identified and met within the community through the utilization of community resources. Establishing a secular communication mechanism, distributed primarily to those involved in community-based corrections, would probably result in no headway in communicating about training and other important matters with treatment providers, professionals in the social services and human services fields, other criminal justice professionals, the general public, and government officials (e.g., county board members).

If this is indeed the case, then the suggestions that can be made are threefold. First, both the scheduling and advertising of training opportunities should be coordinated on a cross-system and cross-organizational basis. Coordination with respect to the scheduling of training activities could be readily accomplished if the cross-system planning recommended above takes place. That is, the existence of cross-system planning would serve to encourage cross-system training as an avenue to encourage attainment of common organizational goals and objectives.

In terms of advertising training opportunities, coordinated coverage should take place through a medium that reaches the maximum proportions of target audiences possible. Many county governments publish newsletters and, of course, virtually every city has a newspaper. Thus, it is suggested that in addition to the secular advertising that might occur, training opportunities be included on a regular basis in existing media which have broader target audiences than community corrections advisory boards, staff, and CCA specialists.

Finally, the suggestion that training opportunities be advertised implies the organization of pertinent information. The apparent need for systematized information prompts the suggestion that a training activities information system be developed which contains data elements descriptive of training activities. For example, the system could contain information about dates, location, instructor, topics, aspects of the topics covered, target audience, enrollment limitations, cost, and related requirements and constraints. The data could be gathered and reported through the media on

a cross-system basis. Two functions would be served. Cross-system training opportunities would be identified and communicated to target audiences. Ideally, this would facilitate the functioning of local community corrections organizations by achieving the sharing of information and, hopefully, the sharing of skills and experience across a range of fields. As might be expected, the final suggestion made is that the training task force suggested be employed to assess the feasibility of: a) implementing cross-system planning for training; b) advertising training opportunities; and c) developing a cross-system training activities information system.

#### c. Absence of a Training Accounting System

Some survey respondents have cited the absence of a training accounting system as a hindrance to the training delivery system. Specifically, there is no systematic way to record data about inservice and external training obtained. Consequently, there is no way to check for progress in the achievement of training plans by individuals or to check for an organization's progress in attaining its training plan. Because of this, decisions about the allocation or reallocation of training funds, the modification of training plans, the modification of training programs, and planning for training are made with either observational or incomplete data. The problem is that management decisions about training are being made with insufficient management information.

##### 1) Suggestions for Resolution

The establishment and maintenance of either a manual or computer-based information system to maintain data about training obtained by individuals is suggested. System design elements should include at least the following variables: name, address, community corrections organization, date training activity was completed, number of hours of training received, topic(s) covered, aspects of topic covered, type of evaluation/performance measures, and total hours of training obtained by topical area.

Responsibility for the training accounting information system design could be assumed by the DOC (or MACCAC), as suggested by a number of CCA administrators, staff, and advisory board members. The overall responsibility could be overseen by the training task force, external consultants, and other individuals possessing expertise in the area of training and/or information systems. The decision to implement a manual or computer-based training accounting information system is one which should be made following a cost assessment and identification of sources of funds to maintain the system.

Data derived from the training accounting information system should be utilized consistently by CCA administrators, staff, and advisory board members to monitor achievement of training plans and programs, to modify these as necessary, and to allocate or reallocate training funds.

#### d. Insufficient Coordination

Although all of the local community corrections organizations sponsor some training activities, the opinion exists that, with one exception, there is little coordination among CCA areas and with other fields in the planning and delivery of training. Most of the training issues delineated have basically evolved from insufficient coordination within local community corrections organizations, among the organizations and allied professions, and among the organizations and the DOC.

##### 1) Suggestions for Resolution

The training task force suggested should assume a leadership role in establishing guidelines and action plans for coordinating the planning and delivery of training within and across local community corrections organizations. A similar role should be assumed in the coordination of cross-system training. As far as a training partnership among local community corrections organizations and the DOC is concerned, that is a relationship that should be examined and modified as deemed necessary. It must be pointed out the opinion of a number of individuals involved in local community corrections organizations is that the DOC should assume an overall coordinating function with respect to training.

##### e. Limited Topical Content/Inappropriate Format

The realm of training activities which might serve to comprise a local CCA organization's training program either has not been fully developed or is considered not totally appropriate to meet the needs of advisory board members, staff, volunteers, allied human services or social services providers, the offender, or the general public. Topical content is seen as limited. Areas which have not been adequately covered include: 1) information systems; 2) data analysis and interpretation; 3) planning models and methods; 4) cost analysis; and 5) cost-effectiveness analysis. In terms of format, the type of session held is often not totally appropriate—for example, not enough hands-on experience is provided. Much more inservice training is seen as warranted or needed by survey respondents.

The issue of less-than-perfect correspondence between training needs and type of training activity offered represents inappropriate training needs assessment and, consequently, inappropriate program development. In any case, members of local community corrections organizations do not think their skill levels are being enhanced to the extent they wish and this situation is perceived to be debilitating to professional and organizational development.

##### 1) Suggestions for Resolution

The suggestions appropriate here have, by and large, been discussed. Given an experienced training officer/coordinator or training consultants, training needs can be reliably assessed. Consecutively, training programs can be developed covering appropriate content areas and topical aspects. The formats used to transmit the training will be tailored to the audience and, ideally, will maximize participant gain.

#### 5. Absence of Evaluation

Two kinds of training evaluation appear to be lacking. The first is evaluation of the quality and potential utility of training activities prior to participation, the second is performance evaluation.

##### a. Absence of Evaluation of Quality and Utility of a Given Training Activity

A number of individuals involved in local community corrections organizations assert they do not typically have either the skills or sufficient information to appraise either the quality or applicability of training activities prior to participation. The information to which they are limited is word-of-mouth, reputation of the trainer, and cues such as the professional qualifications of lecturers or speakers. The most important information besides quality that is lacking is aspects of the topics that will be covered. Thus, training is often a hit-or-miss situation. As an illustration, a training session could deal with problems and issues pertaining to restitution. Factors and variables



affecting the establishment of such programs might not be covered during a specific training session. If a potential participant in this training session were interested in setting up a restitution program, the information needed would not be forthcoming or would not be dealt with in a comprehensive fashion. The information about problems and issues might be useful once the program is functioning, but the information needed is not that which is offered. The point to be made is that training opportunities often do not meet the specific needs of participants. As a result, resources such as time and money are wasted when someone takes part in a training activity that does not meet needs.

#### b. Absence of Performance Evaluation

The absence of performance evaluation means that no objective measures are employed to gauge the effect of training obtained upon level of knowledge, skill level, types of effects observed, or the like. Simply stated, other than on a subjective basis, there's usually no way to determine the benefits/costs accrued by the training participant and by the community corrections organization as a result of the training obtained.

#### c. Suggestions for Resolution

The problems and issues surrounding appraisal of potential utility of training and evaluation of training effectiveness are similar to those experienced in many fields. The existence of qualified training officers and the development of a training activities information system would do much to alleviate these problems and issues. Specifically, assessment of potential utility is a major responsibility of any well-trained training officer/coordinator or training committee. The resolution of evaluation problems and issues is not simple, but involves the integration of multiple sources of information and different kinds of analyses (e.g., job analysis) by a skilled training officer. The only suggestion that can be made with respect to assessment of potential utility is to combine the judgment of training experts with individual appraisal in selecting training activities.

Similarly, the problem of absence of objective measures of performance is not one that is easily circumvented. Dual suggestions can be made, nonetheless. First, prior to approving a request for training, all information about the scheduled training sessions should be examined. (The training activities information system suggested for tracking training opportunities would be of invaluable assistance.) The information should be interpreted in conjunction with information about a potential participant's training plan as well as with information about an organization's training policy. Only in cases where the match of information is deemed appropriate should funding be approved. This, of course, would not constitute performance evaluation, but, in its absence, would provide qualitative information to the training officer/coordinator/committee or to the CCA administrator. A much more stringent suggestion is to modify training policy and not sanction any training activity which does not include a performance evaluation component or some other means of assessing effectiveness. If local community corrections organizations would all adopt similar training policy in this matter, the training market would soon respond.

#### 6. Funding Issues

Five funding issues have surfaced with respect to training.

#### a. Insufficient Training Funds/Insufficient Funds to Hire Training Director/Coordinator

The issue of insufficient training funds is one that does not exist for every local community corrections organization. The issue is primarily applicable to CCA areas with relatively small populations. The argument, simply stated, is that there are not enough funds available to hire a training officer or coordinator for exclusive use by single community corrections organizations. Resources are allocated to functions and activities which maintain higher priority within the local CCA organizations.

A similar issue of insufficient training funds for all staff, advisory board members, and volunteers, exists. Available funds are insufficient to meet the training needs of all. The results of insufficient training funds are thought to be the restriction of individual professional development and of organizational development i.e., attainment of organizational goals and objectives.

#### 1) Suggestions for Resolution

Solutions to funding problems are difficult to formulate because of the fiscal realities of cutback management within both the private and public sectors. One suggestion is that DOC provide a direct training subsidy to CCA areas with small populations. A similar suggestion is to create a fund of unexpended CCA training monies which could be used by any local community corrections organization on a first-come, first-served basis. Other suggestions that are tenable are the cooperative funding of training officers and nonreimbursed use of the training resources of larger CCA organizations (e.g., "borrowing" a training officer on a periodic basis).

The management of training funds should also be attended by all of the local CCA organizations. If training plans were established and priorities set, then allocation of training funds would be based on organizational priority. Training activities not meeting high priority needs should not be funded nor should training expenses be reimbursed.

Finally, the establishment of training policy, guidelines, and criteria would provide further guidance about what types of training would be sponsored, which content areas would have to be covered, maximum training fees that would be reimbursed, and so on. The point to be made is that issues related to perceived inadequacy of training funds may be valid, but the management of the training funds that are available is crucial, particularly in an era of diminishing resources and purchasing power.

#### b. Difficulty in Estimating Training Budget/Difficulty in Allocating Training Monies

A number of CCA administrators have relayed the opinion that training budgets are difficult to estimate because of the operation of factors like budget review and approval by county boards, staff turnover, inflation, and changing training needs. The difficulty in allocating training monies arises from factors such as diminishing purchasing power, conflicting needs, and the absence of training guidelines and criteria. An additional issue is the reported capriciousness of government officers in approving/not approving participation in certain training activities (e.g., training activities requiring an overnight stay or training activities held outside of a county).



### 1) Suggestions for Resolution

Two general suggestions are made here that are predicated on the belief that much uncertainty in estimating and allocating training budgets can be averted or successfully managed if training policy, guidelines, and criteria are developed by local community corrections organizations, by county/regional governmental units, and by the DOC. The existence of these reduces uncertainty by outlining priorities, requirements, and constraints. They provide operational guidance to both administrators and to potential training participants. More importantly, they allow the efficient allocation of training funds.

It is recognized that variables such as staff turnover and changing organizational training needs affect resource assignment and allocation. Again, the resolution to problems produced by these variables is information—to be precise, knowing organizational priorities; requirements and constraints on training monies; the probable reduction in purchasing power attributable to inflation; the alternate training resources that can be accessed; and what alternate strategies can be employed to meet training needs (e.g., sponsor an inservice training program for all staff rather than approve an externally-sponsored training activity for a single staff member). All in all, an additional requirement must be the establishment of a training program that balances training needs and resource availability. The existence of a training activities information system to track training opportunities would be of great value in matching activities with training needs and in permitting a CCA administrator to estimate training budgets by referencing training costs. The general suggestion pertaining to estimation/allocation of training monies is to develop and implement a comprehensive management strategy that will yield the maximum training profit per training dollar expended. Training dollars must be spent for training that will have the greatest impact on organizational performance.

#### c. Five Percent Training Expenditure Rule

The CCA rule stipulating that five percent of the total subsidy amount be spent for training is considered inappropriate for some local community corrections organizations. The argument is that five percent of the annual subsidy is too large an amount to allocate to training because: 1) the funds can be used more effectively elsewhere (e.g., to hire more probation/parole officers); and/or 2) historically, the amounts of money set aside for training have not been expended and a reserve has accumulated over time.

### 1) Suggestions for Resolution

The exploration of several avenues is warranted. First, formal training plans have not been developed in some of the local community corrections organizations. A surplus of training funds might be considerably reduced if a training plan did exist and were implemented. The training task force suggested above should examine the appropriateness of the five percent training expenditure rule in conjunction with the issue of inadequate training plans. A decision to maintain, modify, or omit the requirement for training expenditures should be made after simultaneous consideration of both. One alternative would be to have DOC review and approve a training plan for each CCA area and base the training funds budgeted at the local level upon the training plan. As with any suggestion that has been made, a consensus of training task force opinion should be followed with action to implement—for example, support modification in CCA legislation.

### C. Training: Summary and Conclusions

The achievements observed with respect to the training function are perceived by individuals involved in local community corrections organizations to be increased general knowledge, information, and understanding about the criminal justice system. The effects of the training acquired are seen to be the delivery of higher quality services to the offender coupled with personal and professional development. Nevertheless, a degree of passivity and resistance are acknowledged to exist that hinder personal and organizational growth and development. The availability of training funds is viewed positively. Training funds provide flexibility in securing needed training either through the sponsoring of inhouse training or through the acquisition of training from external agents. By way of comparison, there was little or no training sponsored prior to implementation of the CCA, even in areas in which associations of criminal justice professionals existed. Additionally, post-CCA training is perceived to be of higher quality, although the usefulness of the training is not overwhelmingly supported.

Quantitative data such as the existence of training policy and a training officer have been employed to generate training implementation scores. Overall, an average training implementation score of seventy-seven percent has been observed, indicating that the training function has been fully implemented within local community corrections organizations. Although quantitative data do show that the training function has been implemented, no independent data have been gathered by researchers with which to judge the quality or effectiveness of training. Specifically, it is not clear if the training sponsored or funded is of utility to individual or organizational development. Hence, to the extent that the training function is accurately measured by the indices incorporated here, the function can be said to be fully implemented; but no independent qualitative or quantitative data have been gathered about the utility of the training function to development of local community corrections organizations. Six general categories of training problems and issues have been identified by CCA administrators, staff, CCA specialists, and advisory board members: 1) inadequate training policy, guidelines, and criteria established by DOC and by local community corrections organizations; 2) inadequate assessment of training needs/insufficient training plans; 3) resistance/passivity/time constraints; 4) inadequate training programs; 5) absence of evaluation of training quality and training performance; and 6) funding issues, such as insufficient training funds.

In the main, suggestions presented to achieve resolution of issues are directed to the management of the training function and to the aggregation of a training task force to implement strategies to resolve problems and issues. Among the suggestions deemed viable are: 1) establishment/modification of training policy, guidelines, and criteria; 2) development of individual and organizational training plans generated on the basis of training needs assessments; 3) maintenance of a skilled training officer and/or training committee; 4) design and maintenance of a training activities information system to identify, monitor, and partially evaluate training opportunities; 5) design and maintenance of a training accounting system to monitor attainment of individual and organizational training plans; 6) implementation of time management procedures to allow time to participate in training activities; 7) creation of a training fund of unexpended training monies to be used by local CCA organizations on a first-come, first-served basis; and 8) dissolution of the five percent training expenditure rule and substitution of a training budget based upon DOC approval of an organization training plan.

TABLE 8: Suggested Changes in the Training Function by Local Community Corrections Organization

	RECOMMENDED CHANGES									
	Establish/ Modify Written Training Policy, Guidelines, Criteria (1,2,3,4d,6b) <sup>a</sup>	Maintain Training Officer/ Coordinator/ Training Committee (2, 3,4a,4c,5a,5b)	Conduct Training Needs Assessments (2,3)	Produce Individual Written Training Plans (2,3,4e)	Produce Written Organizational Training Plans (2,3,4d,4e,6b)	Conduct Additional Inservice Training Programs (3,4e,6b)	Implement Training Activity Information System(3,4b, 4d,5a,5b,6b)	Implement Training Accounting Information System (4c,4d,5b)	Create Training Fund (6a)	Base Training Expenditure on Training Plan Rather Than 5% Training Expenditure Rule (6c)
6W	•	•	•	•		•	•	•		
Anoka	•	•	•	•	•	•	•	•	•	•
ARC	•	•	•	•	•	•	•	•		•
Blue Earth	•	•	•	•	•	•	•	•		
Crow Wing- Morrison	•	•		•		•	•	•		•
Dodge-Fillmore- Olmsted	•		•	•		•	•	•		
Hennepin	•	•	•	•	•	•	•	•	•	•
Ramsey	•	•	•	•	•	•	•	•	•	•
Red Lake-Polk- Norman	•	•	•	•	•	•	•			•
Rock-Nobles	•	•	•	•	•	•				
Todd-Wadena	•	•	•	•	•	•	•	•	•	•
Washington	•	•	•	•	•	•	•	•	•	•

<sup>a</sup>Numbers in parentheses refer to the training issues ostensibly resolved if the suggested changes are implemented:

- 1 - Inadequate training policy, guidelines, and criteria established by the DOC and by local community corrections organizations
- 2 - Inadequate assessment of training needs/insufficient training plans
- 3 - Resistance/passivity/time constraints
- 4 - Inadequate training programs
  - 4a - Absence of a training officer, coordinator or training committee/insufficiently skilled training officer/coordinator
  - 4b - Lack of media coverage of training opportunities
  - 4c - Absence of a training accounting system
  - 4d - Insufficient coordination
  - 4e - Limited topical content/inappropriate format
- 5 - Absence of evaluation
  - 5a - Absence of evaluation of quality and utility of a given training opportunity
  - 5b - Absence of performance evaluation
- 6 - Funding issues
  - 6a - Insufficient training funds/insufficient funds to hire training director/coordinator
  - 6b - Difficulty in estimating training budget/difficulty in allocating training monies
  - 6c - 5% training expenditure rule

Table 8 summarizes the major training suggestions made and their degree of support within and across local community corrections organizations.

## V. RESULTS: RESEARCH/INFORMATION SYSTEMS

### A. Research/Information Systems: Achievements and Changes

As above, this section has been divided into two parts: 1) perceived achievements and changes, i.e., the opinions of individuals involved in local community corrections organizations; and 2) objective, quantitative, measures of attainment of the research/information systems function.

#### 1. Perceived Achievements and Changes

The conduct of research and integration of data into decision-making contexts (e.g., planning and budgeting) is perceived to be a developing organizational function by individuals involved in local community corrections organizations. As components of research methodologies, information needs are identified and prioritized; procedures or strategies for the collection and analysis of associated data are developed and implemented; varied statistical methods and procedures are applied to the analysis of data; and data summaries and reports are prepared and distributed to various levels of decision makers. While research activities are not extensive within most CCA areas and few studies have been published locally, the capacity to conduct research is developing over time. (Most data are presented in data summaries. Some of the results are incorporated into comprehensive plans.) Individuals involved in local community corrections organizations (i.e., CCA administrators, staff, CCA specialists, and advisory board members) have relayed the conviction that, with almost no exceptions, very little research was carried out prior to implementation of the Community Corrections Act.

The components of research methodology that have enjoyed the greatest development under the CCA are data definition/collection, storage, and distribution. To be specific, survey respondents thought that much unnecessary or irrelevant data collection has been reduced, data accuracy has improved, and data collection procedures have become systematized. This perceived methodological development is attributable to two factors: a) hiring of CCA research staff on part-time or full-time basis; and b) utilization of external resources, particularly consultants. The achievement that has been most consistently identified and supported is the development of computerized offender-based information systems. The development of offender-based information systems is integral to information flow and has reportedly yielded significant benefits like the ability to partially track offenders through the criminal justice system. The capacity to achieve this is integral to the decision-making functions of planning and budgeting because it allows the formulation of objective decisions about resource allocation and reallocation based upon data on offenders.

#### 2. Quantitative Measures of Research/Information Systems

Three sets of quantitative measures are presented. The first set consists of measures and ratings that are indices of the research/information systems function at the local level. Table 9 contains data which show which research/information systems indices are present (and, conversely, which are absent) within and across local community corrections organizations. The average research/information systems implementation score is sixty-five percent which, according to the criteria delineated in the Introduc-

TABLE 9: INDICATORS OF IMPLEMENTATION OF THE RESEARCH/INFORMATION SYSTEMS FUNCTION BY LOCAL COMMUNITY CORRECTIONS ORGANIZATION

CCA Area	Staff Researcher?	Research/Information Systems Committee?	Maintain Written Research Policy Statement?	Maintain Written Research Guidelines/Grants?	Conduct Studies/Investigations?	Publish Studies/Investigations?	Publish Data Summaries?	Include Data in Comprehensive Plans?	Operational Computerized Offender-Based Information System?	Overall Rating of Research Activities	Total Research/Information Systems Score	Research/Information Systems Implementation Score	Rank
GM	No	No	No	No	Yes	No	Yes	No	Yes	+	4	40% (4/10)	10
Anoka	Yes	Yes	No	No	Yes	No	Yes	Yes	Yes	-	6	60% (6/10)	6.5
APC	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes	Yes	+	9	90% (9/10)	2
Blue Earth	No	Yes	Yes	No	Yes	No	Yes	Yes	Yes	+	7	70% (7/10)	5
Crow Wing-Morrison	No	Yes	No	No	Yes	No	Yes	Yes	No	+	5	50% (5/10)	8
Dodge-Fillmore-Olested	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes	+	9	90% (9/10)	2
Hennepin	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	+	9	90% (9/10)	2
Ramsey	Yes	--	--	--	Yes	Yes	Yes	Yes	No	+	--	--	1
Red Lake-Polk-Hornum	Yes	Yes	No	No	Yes	Yes	Yes	Yes	Yes	+	8	80% (8/10)	4
Sack-Tobias	No	Yes	No	No	Yes	No	Yes	Yes	No	-	4	40% (4/10)	10
Todd-Wadena	No	Yes	No	No	No	No	Yes	Yes	Yes	+	4	40% (4/10)	10
Washington	No	Yes	No	No	Yes	No	Yes	Yes	Yes	+	6	60% (6/10)	6.5
AVERAGE: 6.6											AVERAGE: 65%		

\*Overall rating is derived from the opinions of advisory board members, CCA administrators and staff, and the CCA specialist for each CCA area. Refer to Table 10.  
 †Total research/information systems score is computed as the sum of "yes" and "no" measures observed within each CCA area.  
 ‡Research/information systems implementation score = Total research/information systems score / maximum research/information systems score (10 points).  
 §Research/information systems implementation scores evaluate level of effort but do not reflect assessment of quality, effectiveness, or efficiency.

52

tion to this component of the CCA evaluation, is interpreted to mean that the local research/information systems function has been partially implemented.

Note that by reading down columns, it is possible to calculate the number or percentages of CCA areas which do or do not exhibit a particular indicator of implementation. For example, while only four CCA areas have actually published the results of studies or investigations, all of the areas have produced data summaries based upon studies/investigations.

By interpreting results in Table 9 both down and across, the following pattern is observed. Half of the local community corrections organizations maintain a staff researcher and a research/information systems committee or evaluation committee. More than half of the CCA areas for which data are available do not maintain a written research policy statement or associated guidelines or criteria. In terms of actual research conducted, virtually all the local community corrections organizations have carried out studies or investigations. Dissemination of results has largely been inhouse through the distribution of data summaries. Virtually all CCA areas have incorporated data within decision-making contexts represented by the inclusion of data into comprehensive plans. Finally, almost all CCA areas maintain operational computerized offender-based information systems. No additional quantitative data are currently available about local offender-based information systems.

Overall ratings of the research activities undertaken by local community corrections organizations are presented in Table 10. Before these results are discussed, it is well to note that the percentages of individuals (i.e., CCA administrators and staff, advisory board members, CCA specialists) selecting the response categories which evolved as modal do not constitute a majority response. This means that the opinions of those who provided information about research conducted at the local level differed, that is to say, the level of consensus about research activities was not high.

To continue, Table 10 indicates that research conducted at the local level is viewed equivocally—the research is considered only somewhat useful or timely, although the quality of that research is thought to be good. Research is considered to be somewhat useful in making policy, planning, and funding decisions, a finding that suggests that: a) the data collected are not clearly tied into information needs; b) the data are not analyzed and presented in useful form or c) that decision makers have yet to recognize and capitalize on the management opportunities afforded by the availability of such data.

The results presented in Table 9 and Table 10 basically agree. That is to say, the research/information systems function has only been partially implemented. Ratings of aspects of the research function (e.g., usefulness and timeliness) are, overall, only somewhat positive or supportive. As a final note, very little objective information about the quality and effectiveness of research is available, so the results presented must be interpreted with that fact in mind. To put it another way, if independent measures of the quality of research were available, research/information systems implementation scores could change.

### 3. Performance of DOC in Reviewing and Approving Research and Information Systems Designs and Processes

Table 11 offers data pertaining to the directive of the CCA to the DOC to review and approve all research designs and processes, including information systems designs. An interesting finding observed is that, depending upon the aspect of performance



TABLE 10: Ratings of Aspects of Research Carried Out by Local Community Corrections Organization

Variable	C C A AREA							
	All (n <sub>All</sub> = 294)		6W (n <sub>6W</sub> = 23)		Anoka (n <sub>ANK</sub> = 23)		ARC (n <sub>ARC</sub> = 36)	
	Modal Response:	Percent <sup>a</sup>	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent
Usefulness of Research <sup>b</sup>	Somewhat Useful (3.0):	30%	Somewhat Useful (3.0):	22%	Slightly Useful (2.0):	35%	Somewhat Useful (3.0):	28%
			Don't Know:	30%				
Timeliness of Research <sup>c</sup>	Somewhat Timely (3.0):	42%	Somewhat Timely (3.0):	30%	Somewhat Timely (3.0):	52%	Somewhat Timely (3.0):	56%
			Don't Know:	39%			Don't Know:	25%
Understandability of Research Results <sup>d</sup>	Somewhat Easy to Understand (4.0):	31%	Somewhat Difficult to Understand (2.0):	26%	Somewhat Easy to Understand (4.0):	30%	Somewhat Easy to Understand (4.0):	36%
			Somewhat Easy to Understand (4.0):	26%	Don't Know:	26%	Don't Know:	25%
Quality of Research <sup>e</sup>	Good (4.0):	34%	Fair/Good (3.5):	69%	Fair (3.0):	35%	Good (4.0):	33%
					Don't Know:	30%		
Usefulness of Research in Planning Decisions <sup>f</sup>	Somewhat Useful (3.0):	31%	Somewhat Useful (3.0):	26%	Slightly/Somewhat Useful (2.5):	61%	Somewhat Useful (3.0):	28%
					Don't Know:	26%		
Usefulness of Research in Funding Decisions <sup>g</sup>	Somewhat Useful (3.0):	29%	Somewhat Useful (3.0):	30%	Slightly/Somewhat Useful (2.5):	52%	Very Useful (4.0):	22%
	Don't Know:	27%			Don't Know:	26%	Don't Know:	36%
Usefulness of Research in Policy Decisions <sup>h</sup>	Somewhat Useful (3.0):	29%	Slightly/Somewhat Useful (2.5):	43%	Slightly/Somewhat Useful (2.5):	60%	Somewhat Useful (3.0):	22%
	Don't Know:	26%	Don't Know:	26%			Don't Know:	39%

<sup>a</sup>Percentage of respondents choosing modal response category.

<sup>b</sup>Rating scale ranged from 1 to 4, where "1" is "not at all useful," "2" is "slightly useful," "3" is "somewhat useful," "4" is "very useful."

<sup>c</sup>Rating scale ranged from 1 to 4, where "1" is "very late," "2" is "slightly late," "3" is "somewhat timely," "4" is "very timely."

<sup>d</sup>Rating scale ranged from 1 to 5, where "1" is "very difficult to understand," "2" is "somewhat difficult to understand," "3" is "undecided,"

"4" is "somewhat easy to understand," "5" is "very easy to understand."

<sup>e</sup>Rating scale ranged from 1 to 5, where "1" is "bad," "2" is "poor," "3" is "fair," "4" is "good," "5" is "excellent."

<sup>f</sup>Rating scale ranged from 1 to 4, where "1" is "not at all useful," "2" is "slightly useful," "3" is "somewhat useful," "4" is "very useful."

<sup>g</sup>Rating scale ranged from 1 to 4, where "1" is "not at all useful," "2" is "slightly useful," "3" is "somewhat useful," "4" is "very useful."

<sup>h</sup>Rating scale ranged from 1 to 4, where "1" is "not at all useful," "2" is "slightly useful," "3" is "somewhat useful," "4" is "very useful."

TABLE 10: Ratings of Aspects of Research Carried Out by Local Community Corrections Organization

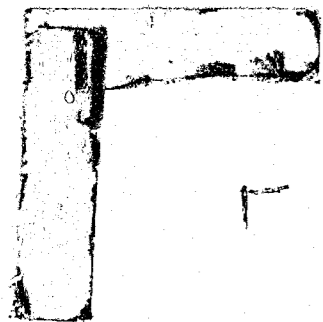
Variable	C C A AREA			
	Blue Earth (n <sub>BE</sub> =24)	Crow Wing-Morrison (n <sub>CWM</sub> =25)	Dodge-Fillmore-Olmsted (n <sub>DFO</sub> =34)	Hennepin (n <sub>HENN</sub> =26)
Usefulness of Research <sup>b</sup>	Modal Response: Percent Somewhat Useful (3.0): 29%	Modal Response: Percent Somewhat Useful (3.0): 36%	Modal Response: Percent Very Useful (4.0): 56%	Modal Response: Percent Very Useful (4.0): 39%
Timeliness of Research <sup>c</sup>	Somewhat Timely (3.0): 42%	Somewhat Timely (3.0): 36%	Somewhat/Very Timely (3.5): 79%	Somewhat Timely (3.0): 46%
Understandability of Research Results <sup>d</sup>	Somewhat Easy to Understand (4.0): 25%	Somewhat Difficult to Understand (2.0): 28% Somewhat Easy to Understand (4.0): 28%	Somewhat Easy to Understand (4.0): 44%	Very Easy to Understand (5.0): 31%
Quality of Research <sup>e</sup>	Good (4.0): 29%	Fair (3.0): 40%	Good/Excellent (4.5): 85%	Good (4.0): 39%
Usefulness of Research in Planning Decisions <sup>f</sup>	Somewhat Useful (3.0): 25% Don't Know: 25%	Somewhat Useful (3.0): 48%	Very Useful (4.0): 56%	Somewhat/Very Useful (3.5): 53%
Usefulness of Research in Funding Decisions <sup>g</sup>	Somewhat Useful (3.0): 29% Don't Know: 33%	Somewhat Useful (3.0): 48%	Somewhat/Very Useful (3.5): 74%	Somewhat Useful (3.0): 31%
Usefulness of Research in Policy Decisions <sup>h</sup>	Somewhat Useful (3.0): 29% Don't Know: 33%	Somewhat Useful (3.0): 28% Don't Know: 28%	Very Useful (4.0): 44%	Slightly/Somewhat Useful (2.5): 31%

TABLE 10: Ratings of Aspects of Research Carried Out by Local Community Corrections Organization

Variable	C C A AREA							
	Ramsey (n <sub>RAM</sub> =21)		Red Lake-Polk-Norman (n <sub>RPN</sub> =24)		Rock-Nobles (n <sub>RN</sub> =16)		Todd-Wadena (n <sub>TW</sub> =21)	
	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent
Usefulness <sup>b</sup> of Research	Somewhat Useful (3.0):	38%	Somewhat Useful (3.0):	42%	Slightly Useful (2.0):	25%	Very Useful (4.0):	29%
					Don't Know:	31%		
Timeliness <sup>c</sup> of Research	Somewhat Timely (3.0):	43%	Somewhat Timely (3.0):	33%	Somewhat Timely (3.0):	31%	Somewhat Timely (3.0):	33%
	Don't Know:	33%			Don't Know:	38%		
Understandability of Research Results	Undecided (3.0):	24%	Somewhat Easy to Understand (4.0):	58%	Undecided (3.0):	19%	Somewhat Easy to Understand (4.0):	38%
					Don't Know:	31%		
Quality of Research <sup>a</sup>	Fair (3.0):	38%	Good (4.0):	42%	Fair/Good (3.5):	25%	Good (4.0):	43%
					Don't Know:	44%		
Usefulness of Research in Planning Decisions <sup>f</sup>	Slightly Useful (2.0):	29%	Somewhat Useful (3.0):	38%	Somewhat Useful (3.0):	31%	Very Useful (4.0):	48%
	Don't Know:	29%			Don't Know:	31%		
Usefulness of Research in Funding Decisions <sup>g</sup>	Slightly Useful (2.0):	33%	Somewhat/Very Useful (3.5):	46%	Somewhat Useful (3.0):	31%	Very Useful (4.0):	38%
	Don't Know:	43%	Don't Know:	29%	Don't Know:	31%		
Usefulness of Research in Policy Decisions <sup>h</sup>	Slightly Useful (2.0):	29%	Somewhat Useful (3.0):	42%	Somewhat Useful (3.0):	25%	Very Useful (4.0):	24%
	Don't Know:	38%			Don't Know:	31%	Don't Know:	29%

TABLE 10: Ratings of Aspects of Research Carried Out by Local Community Corrections Organization

Variable	C C A AREA	
	Washington	(n <sub>WASH</sub> =21)
	Modal Response:	Percent
Usefulness of Research <sup>b</sup>	Somewhat Useful (3.0):	52%
Timeliness of Research <sup>c</sup>	Somewhat Timely (3.0):	52%
Understandability of Research Results <sup>d</sup>	Somewhat Difficult to Understand (2.0):	24%
Quality of Research <sup>e</sup>	Good (4.0):	57%
Usefulness of Research in Planning Decisions <sup>f</sup>	Somewhat Useful (3.0):	62%
Usefulness of Research in Funding Decisions <sup>g</sup>	Somewhat Useful (3.0): Don't Know:	48% 29%
Usefulness of Research in Policy Decisions <sup>h</sup>	Somewhat Useful (3.0): Don't Know:	43% 29%



**CONTINUED**

**1 OF 2**

TABLE 11: Ratings of the Performance of the DOC in Carrying Out Mandates of the Community Corrections Act: Review and Approval of All Research and Evaluation Designs and Processes, Including Information Systems Designs

Variable	C C A AREA							
	All (n <sub>All</sub> =294)		6W (n <sub>6W</sub> =23)		Anoka (n <sub>ANK</sub> =23)		ARC (n <sub>ARC</sub> =36)	
	Modal Response:	Percent <sup>a</sup>	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent
Overall Performance of the DOC <sup>b</sup>	Good (4.0):	23%	Good (4.0):	30%	Good (4.0):	35%	Fair/Good (3.5):	44%
	Don't Know:	41%	Don't Know:	44%	Don't Know:	26%	Don't Know:	39%
Effect on Local CCA Operations <sup>c</sup>	Somewhat Facilitated (4.0):	21%	Undecided (4.0):	22%	Somewhat Facilitated (4.0):	30%	Somewhat Facilitated (4.0):	19%
	Don't Know:	43%	Don't Know:	39%	Don't Know:	30%	Don't Know:	47%
Level of Cooperation between the DOC and the Local Community Corrections Organization <sup>d</sup>	Good (4.0):	27%	Fair/Good (3.5):	61%	Good (4.0):	35%	Good (4.0):	25%
	Don't Know:	41%	Don't Know:	35%	Don't Know:	26%	Don't Know:	47%
Level of Activity of the DOC <sup>e</sup>	Somewhat Active (4.0):	30%	Somewhat Active (4.0):	30%	Somewhat Active (4.0):	44%	Somewhat Active (4.0):	31%
	Don't Know:	44%	Don't Know:	44%	Don't Know:	30%	Don't Know:	39%
Timeliness of DOC Efforts <sup>f</sup>	Timely (4.0):	27%	Timely (4.0):	26%	Timely (4.0):	52%	Timely (4.0):	31%
	Don't Know:	50%	Don't Know:	57%	Don't Know:	35%	Don't Know:	50%
Has the DOC Provided Adequate Guidelines? <sup>g</sup>	Somewhat Adequate (4.0):	25%	Somewhat Adequate (4.0):	26%	Somewhat Adequate (4.0):	35%	Somewhat Adequate (4.0):	33%
	Don't Know:	47%	Don't Know:	65%	Don't Know:	30%	Don't Know:	42%

<sup>a</sup>Percentage of respondents choosing modal response category.

<sup>b</sup>Rating scale ranged from 1 to 5, where "1" is "bad," "2" is "poor," "3" is "fair," "4" is "good," "5" is "excellent."

<sup>c</sup>Rating scale ranged from 1 to 5, where "1" is "greatly hindered," "2" is "somewhat hindered," "3" is "undecided," "4" is "somewhat facilitated," "5" is "greatly facilitated."

<sup>d</sup>Rating scale ranged from 1 to 5, where "1" is "bad," "2" is "poor," "3" is "fair," "4" is "good," "5" is "excellent."

<sup>e</sup>Rating scale ranged from 1 to 5, where "1" is "very passive," "2" is "somewhat passive," "3" is "undecided," "4" is "somewhat active," "5" is "very active."

<sup>f</sup>Rating scale ranged from 1 to 5, where "1" is "nonexistent," "2" is "late," "3" is "slightly delayed," "4" is "timely," "5" is "too early."

<sup>g</sup>Rating scale ranged from 1 to 5, where "1" is "none provided," "2" is "completely inadequate," "3" is "somewhat inadequate," "4" is "somewhat adequate," "5" is "completely adequate."



TABLE 11: Ratings of the Performance of the DOC in Carrying Out Mandates of the Community Corrections Act: Review and Approval of All Research and Evaluation Designs and Processes, Including Information Systems Designs

Variable	C C A AREA							
	Blue Earth (n <sub>BE</sub> =24)		Crow Wing-Morrison (n <sub>CWM</sub> =25)		Dodge-Fillmore-Olmsted (n <sub>DFO</sub> =34)		Hennepin (n <sub>HENN</sub> =26)	
	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent
Overall Performance of the DOC <sup>b</sup>	Fair (3.0): Don't Know:	21% 50%	Fair (3.0): Don't Know:	32% 32%	Good (4.0): Don't Know:	27% 47%	Poor/Fair/Good (3.0): Don't Know:	35% 58%
Effect on Local CCA Operations <sup>c</sup>	Undecided (3.0): Don't Know:	21% 54%	Undecided (3.0): Don't Know:	24% 32%	Somewhat Facilitated (4.0): Don't Know:	32% 41%	Undecided (3.0): Don't Know:	15% 65%
Level of Cooperation between the DOC and the Local Community Corrections Organization <sup>d</sup>	Fair (3.0): Don't Know:	25% 50%	Good (4.0): Don't Know:	28% 32%	Good (4.0): Don't Know:	29% 38%	Good (4.0): Don't Know:	19% 58%
Level of Activity of the DOC <sup>e</sup>	Somewhat Active (4.0): Don't Know:	21% 50%	Somewhat Active (4.0): Don't Know:	32% 36%	Somewhat Active (4.0): Don't Know:	29% 44%	Somewhat Active (4.0): Don't Know:	12% 7%
Timeliness of DOC Efforts <sup>f</sup>	Slightly Delayed (3.0): Don't Know:	17% 63%	Timely (4.0): Don't Know:	20% 44%	Timely (4.0): Don't Know:	21% 56%	Slightly Delayed/ Timely (3.5): Don't Know:	23% 69%
Has the DOC Provided Adequate Guidelines? <sup>g</sup>	Somewhat Inadequate/ Somewhat Adequate (3.5): Don't Know:	25% 54%	Somewhat Inadequate/ Somewhat Adequate (3.5): Don't Know:	32% 48%	Somewhat Adequate (4.0): Don't Know:	27% 47%	Somewhat Adequate (4.0): Don't Know:	19% 46%

TABLE 11: Ratings of the Performance of the DOC in Carrying Out Mandates of the Community Corrections Act: Review and Approval of All Research and Evaluation Designs and Processes, Including Information Systems Designs

Variable	C C A AREA							
	Ramsey (n <sub>RAM</sub> =21)		Red Lake-Polk-Norman (n <sub>RPN</sub> =24)		Rock-Nobles (n <sub>RN</sub> =16)		Todd-Wadena (n <sub>TW</sub> =21)	
	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent
Overall Performance of the DOC <sup>b</sup>	Good (4.0):	24%	Good (4.0):	25%	Good (4.0):	13%	Good (4.0):	38%
	Don't Know:	48%	Don't Know:	33%	Don't Know:	56%	Don't Know:	29%
Effect on Local CCA Operations <sup>c</sup>	Undecided/Somewhat Facilitated (3.5):	38%	Somewhat Facilitated (4.0):	21%	Somewhat Facilitated (4.0):	19%	Somewhat Facilitated (4.0):	29%
	Don't Know:	52%	Don't Know:	25%	Don't Know:	56%	Don't Know:	33%
Level of Cooperation between the DOC and the Local Community Corrections Organization <sup>d</sup>	Good (4.0):	29%	Good (4.0):	29%	Fair/Good (3.5):	25%	Good (4.0):	33%
	Don't Know:	48%	Don't Know:	29%	Don't Know:	56%	Don't Know:	33%
Level of Activity of the DOC <sup>e</sup>	Somewhat Active (4.0):	19%	Somewhat Active (4.0):	42%	Somewhat Active (4.0):	19%	Somewhat Active (4.0):	33%
	Don't Know:	52%	Don't Know:	29%	Don't Know:	56%	Don't Know:	43%
Timeliness of DOC Efforts <sup>f</sup>	Timely (4.0):	24%	Timely (4.0):	33%	Slightly Delayed/Timely (3.5):	25%	Timely (4.0):	33%
	Don't Know:	67%	Don't Know:	33%	Don't Know:	56%	Don't Know:	38%
Has the DOC Provided Adequate Guidelines? <sup>g</sup>	Somewhat Inadequate/Somewhat Adequate (3.5):	28%	Somewhat Adequate (4.0):	33%	Somewhat Inadequate/Somewhat Adequate (3.5):	12%	Somewhat Adequate (4.0):	29%
	Don't Know:	62%	Don't Know:	33%	Don't Know:	63%	Don't Know:	33%

TABLE 11: Ratings of the Performance of the DOC In Carrying Out Mandates of the Community Corrections Act: Review and Approval of All Research and Evaluation Designs and Processes, Including Information Systems Designs

Variable	Washington (n <sub>WASH</sub> =21)	
	Modal Response:	Percent
Overall Performance of the DOC <sup>b</sup>	Good (4.0):	33%
	Don't Know:	33%
Effect on Local CCA Operations <sup>c</sup>	Somewhat Facilitated (4.0):	29%
	Don't Know:	33%
Level of Cooperation between the DOC and the Local Community Corrections Organization <sup>d</sup>	Good (4.0):	43%
	Don't Know:	33%
Level of Activity of the DOC <sup>e</sup>	Somewhat Active (4.0):	48%
	Don't Know:	33%
Timeliness of DOC Efforts <sup>f</sup>	Timely (4.0):	52%
	Don't Know:	33%
Has the DOC Provided Adequate Guidelines? <sup>g</sup>	Somewhat Adequate (4.0):	33%
	Don't Know:	43%

considered, from forty percent to fifty percent of the individuals involved in CCA at the local level who offered an opinion did not know what contribution had been offered by the DOC. Those who did respond considered the overall performance of the DOC to be good and timely, with the level of cooperation between state and local levels being good.

As has been observed in the case of the planning function, the DOC is viewed as not particularly active in its efforts to review and approve research and information systems designs. The opinion is held that the interaction has only somewhat facilitated research activities undertaken by local community corrections organizations. These results suggest that the DOC has not assumed a leadership role in carrying out the mandate of the CCA that directs it to facilitate the research activities and products of local community corrections organizations.

#### B. Research/Information Systems: Problems and Issues

A series of problems and issues related to research and information systems have been delineated.

##### 1. Insufficient Technical Assistance by DOC/Inadequate Research and Information Systems Guidelines and Criteria

The level of technical assistance delivered by DOC with respect to research methodology and the design and maintenance of information systems is perceived to be insufficient by a proportion of individuals involved in community corrections at the local level. According to the line of thought, CCA areas have had little substantive input to/feedback from the DOC in carrying out research activities. Technical review and assistance in the areas of data analysis, interpretation of results, and presentation of findings are seen to be needed in some (although not all) CCA areas. As an example, technical assistance about the different procedures that could be followed to conduct offender needs assessments and incorporate data within the planning process has been cited as both desirable and potentially very useful by survey respondents.

Further, the technical assistance that has been given by the DOC in the area of information systems design and maintenance is considered to be unclear, contradictory, and imprecise by CCA administrators and staff. Information systems guidelines and criteria (e.g., design criteria) are thought to be virtually nonexistent with the exception of the guidelines/criteria applied to the offender-based data submitted to the DOC. The perceived results have been confusion and slower-than-desired progress in the implementation of information systems, particularly with regard to computer-based systems. In fact, the information systems in at least two CCA areas have failed. The level of sophistication that does exist is seen to primarily derive from local research/information systems staff or consultants such as systems analysts. A lack of guidance by the DOC in issuing information systems guidelines and criteria has resulted in nonstandardized information systems design across CCA areas.

##### a. Suggestions for Resolution

There is evidence that the function of research/information systems is assuming greater importance over time. Thus, it is apparent that the issue of insufficient technical assistance by the DOC is one that should be resolved by the DOC and local community corrections organizations. An alternative to DOC input continues to be external consultants. Regardless of the source of the technical assistance, however, it is suggested that technical support be used and coordinated across local community

corrections organizations. This suggestion is made for two reasons. First, the fields of research and information systems constantly change. Keeping abreast of developments in both fields is difficult, particularly if a significant amount of time is actually spent conducting research, processing data, and reporting results to decision makers. In addition, the nature of both fields is one that lends itself to consultation among peers, particularly to discuss the pros and cons of the selection and implementation of designs and strategies. Since both continuing education and feedback are so important, mechanisms for information sharing and dissemination should be put into place. An efficient mechanism, in addition to professional journals, is centralized information sharing, here accomplished by the DOC or external consultants providing technical assistance and technical information to local community corrections organizations.

The coordination of technical assistance and technical information would be expected to yield benefits such as relative uniformity of content and format in data display or application of statistical techniques to offender-based data aggregated across CCA areas. Finally, coordinated technical assistance could result in the conduct of cooperative research projects designed to provide state and local decision makers with management information.

A research/information systems task force should be established that consists of CCA staff or advisory board members from each CCA area and appropriate DOC staff. The research/information systems task force should identify areas in which technical assistance in research or information systems is needed by local community corrections organizations. Following this, they should derive strategies for securing necessary technical assistance and negotiate technical assistance schedules as deemed appropriate. The research/information systems task force should also facilitate the resolution of the associated problems and issues discussed below.

##### 2. Nonstandardized Information Systems Design

Even though local community corrections organizations have, with several exceptions, established computer-based information systems, the absence of a standardized information system across CCA areas has introduced associated issues.

##### a. Nonequivalent Data Elements

A standardized set of offender-based variables defined by the DOC is included as a subset of the information systems maintained by local community corrections organizations. Other variables incorporated in the information systems are unique to the respective CCA areas. Different operational definitions of and coding schemes for the unique variables mean that similar data may not be readily compared across CCA areas. Data analysis cannot proceed without transformation of data. Data manipulation is frequently costly, particularly if a great deal of recoding is necessary. Since this is the case, comparison of data on cost, effect, or cost-effectiveness is inhibited. (This situation applies only to unique variables. The data on DOC-defined, offender-based variables are maintained in a DOC computer-based information system. These data are available to CCA areas for research purposes.)

In addition, from an informational perspective, dissimilar coding schemes usually mean that the informational value of the data elements do not completely correspond. As an illustration, assume that the variable "chemical dependency services provided" is coded as a "yes" or "none provided," in one information system. In a second information system, the same variable has four response categories: "jail treatment

program," "residential treatment program," "nonresidential treatment program," and "none provided." One could compute the proportions of offenders who received chemical dependency services in both cases. In the latter instance, however, management information about the type of chemical dependency program providing the services would be known. By aggregating data within or across CCA areas, it would be possible to determine which type of correctional services chemical dependency programs were being used most frequently. Results of analysis of these data would provide decision makers with information about relative use. If measures of cost and effect were also known for the types of programs, then it would be possible to estimate relative cost and relative effect. In any instance, the point to be made is that nonequivalent data elements were collected which yielded nonequivalent information. This prevented the comparison of data elements and ultimately restricted the availability of management information.

#### b. Duplicative Costs

Another significant problem associated with the absence of a standardized information systems design is duplicative costs for implementation of different information systems in different CCA areas. Even in CCA areas where existing information systems have been tapped, there have been substantial costs associated with system buy-in and maintenance. This is particularly the case in CCA areas where the vendor is basically tied into a university computer center and the software used is a statistical package or a utility provided by the installation. The costs incurred by the vendor in such a case are minimal, but the fees charged the local community corrections organizations are substantial and recurrent.

The absence of a standardized information systems design yields inefficient local utilization of financial resources in at least two ways. As stated, design costs are duplicated across local community corrections organizations when different information systems are designed. (The informational requirements are, presumably, quite similar across CCA areas which are similar in size. This means that information systems designs are probably very similar or should be.) In effect, separate resources are expended to derive similar information systems. In addition, there are duplicative costs involved in maintaining these information systems and associated software. (Software used may also be quite similar across CCA areas of similar size or with similar information needs.)

#### c. Suggestions for Resolution

The issue of nonstandardized information systems design may be moot because a majority of local information systems are in place. Any significant changes in these systems in the direction of standardization of design would be extremely costly. It also could be argued that implementation of a standardized information system across CCA areas would negate or disregard local differences in information need.

Redesign of information systems may not be warranted given the existence of the DOC's computerized information system. Rather, it would be well for local community corrections organizations of similar size and/or with similar information needs to consider the feasibility of centralizing the information system function at the state level. Doing this would not reduce the costs associated with the collection and analysis of data elements, but duplicative costs for system maintenance and for software would be reduced substantially. Since the DOC is mandated to maintain its offender-based information system, its data processing and storage costs as well as system maintenance costs, are largely fixed. The local CCA organizations should consider this in assessing the feasibility of centralizing an offender-based information system.

Of course, the DOC would incur additional costs (e.g., CPU costs, cost of paper) if it were to analyze data regularly and provide printouts to local community corrections organizations. Such costs are variable and would probably have to be assumed by the community corrections organizations. Depending upon the latency and frequency with which CCA areas would have to access data, additional costs would have to be incurred by the local CCA organizations if they elected to have immediate access to DOC data. If the local community corrections organizations did decide that immediate access to data was a requirement, then they might go to an interactive query-oriented system (terminal). Another possibility would be a microcomputer approach with common software (e.g., the POSSE system planned by the BCA). The DOC could lease minicomputers plus necessary software to CCA areas. All minicomputers would be tied into the same operating system and same software, thus facilitating cross-area comparison of data, reducing duplicative system maintenance costs, and encouraging utilization of data by ensuring rapid access and commonality of data elements.

The research/information systems task force should scrutinize the suggestions made here, particularly those related to centralization of the information systems function.

### 3. Insufficient Utilization of Data Collected

An issue of insufficient utilization of data collected has been articulated by survey respondents, but it is not unique to local community corrections organizations. All data collected are simply not used within decision-making contexts. A closely allied issue lies in the area of technical knowledge and expertise needed to integrate data into decision-making contexts. The problem sometimes is lack of knowledge on the part of a researcher, but it also sometimes is uncertainty about the inferences that can safely be drawn from the data or uncertainty about which data are appropriate to use. In a related vein, some data may not be used because analytical techniques (e.g., modeling, forecasting) which would effectively utilize the data are not applied because the techniques are specialized and unfamiliar to a majority of researchers. Within local community corrections organizations, the issue of underutilization of data probably reflects inadequate assessment of information need and underdeveloped research expertise.

#### a. Suggestions for Resolution

The effective and efficient utilization of CCA resources in large part depends upon successful management. Successful management models typically employ accurate data and sophisticated analytical methods as management tools to facilitate policy, planning, and funding decisions. To the extent that data have been underutilized in local CCA decision-making contexts, management decisions have not been made with the most accurate information available. To the extent this is true, there is no way to estimate the effect upon CCA operation at the local level.

The optimal method of ameliorating issues pertaining to insufficient utilization of data involves training, most probably of the research staff of local community corrections organizations and other staff members who employ data to formulate decisions about resource allocation and reallocation (e.g., CCA administrators and planners). Logically, the training should emphasize: 1) the acquisition of skills required to conduct



formal needs assessments; and 2) the mastery of research methodology, particularly statistical methods and techniques.

Because the staff training required might be extensive, time-consuming, and/or expensive, then it is suggested that consultants and technical assistants be used to encourage full utilization of data collected. Such individuals should be brought into the local community corrections organizations on a regular basis. Their responsibilities would be to provide input about or to actually assist in the conduct of organizational information needs assessments for decision making. Information need will dictate the data which will be collected. The probability that data will be adequately used is maximized when what is collected is necessary to make management decisions.

Across CCA areas, underutilization of offender-based data is witnessed by the fact that, since 1973, the CCA has continued without objective data being employed to assess effect, cost, and cost-effectiveness. Dialogue about the availability and reliability of followup offender-based data aside, the DOC, like local CCA organizations, has made management decisions about a component of public corrections policy without use of the most objective data possible. Therefore, as a final recommendation, the DOC should continue to evaluate the CCA beyond the point in time that this study is completed. Data on cost, effect, and cost-effectiveness should be employed on an ongoing basis to guide the operation of the Community Corrections Act.

#### 4. Institutionalization of Research/Information Systems as a Function of Local Community Corrections Organizations

The fourth major issue presented has to do with the legitimization and institutionalization of research/information systems as a function of local community corrections organizations. Local progress in developing a research program or even research projects has been slow. A number of factors, such as inadequate staff resources and the costs associated with the conduct of research, have reportedly hindered implementation of the function. In addition, research is considered to be too complicated to understand and not very useful in the "real world." Direct links between research results and application are frequently tenuous.

A similar situation is observed in the case of information systems, but is less pronounced because of the widespread use of computers within both the private and public sectors. The costs of maintaining information systems plus the perceived skill levels required to understand their operation are major factors inhibiting institutionalization of the information systems function within local community corrections organizations.

##### a. Suggestions for Resolution

The key to resolution of this issue seems to be communication of the utility and potential utility of research and information systems. The target audience is individuals involved in local community corrections organizations, in particular, CCA staff and advisory board members. A viable mechanism to present information is inservice training sessions. The sessions could be offered periodically by DOC staff, external consultants, and/or CCA research staff. The ongoing research that is being conducted within local CCA organizations could be discussed within the training sessions to provide participants with concrete examples of application of research methodology or use of information systems. As is appropriate to any setting in which attitude change is desired, involving the target audience in discussion or allowing them

to participate effects the greatest change in attitude, in this case, movement toward acceptance or institutionalization of the research/information systems function.

#### 5. Prohibitive Research/Information System Costs

The costs incurred in conducting full-scale research projects are considered prohibitive by individuals involved in local community corrections organizations. The initial cost that is mentioned is that incurred in hiring research staff or external consultants. As is apparently the case with training, research activities and research staff have lower priority than functions such as planning or the provision of probation/parole services. Beyond this, other costs are incurred in collecting data (e.g., travel costs); coding and storage of data (e.g., keypunching costs, disk storage costs); analyzing data (CPU and software costs); and publishing costs. The costs are considered to be prohibitive given the limited use of data gathered.

A discussion of the cost problems associated with the design and implementation of computer-based information systems has been presented previously. The fees charged by consultants for information systems design and maintenance are generally high. Even in cases where the local community corrections organizations are tied in with a county or university-based information system, the costs incurred for system maintenance are substantial. A unique finding is that the costs associated with the design and implementation of information systems are considered valid while those incurred for research are questioned. The reason appears to be related to the extent of integration of computer technology into daily life.

##### a. Suggestions for Resolution

The issue of the costs of maintaining research staff, information systems, or of conducting research projects is confounded with the issues of insufficient assessment of organizational information need and underutilization of data within decision-making contexts. The costs of carrying out comprehensive research projects and programs are frequently substantial. One suggestion that can be made to reduce expenditure of staff resources in conducting research yet maintain or increase the scope of the research is to utilize external support resources. Two major resources that could be employed to encourage implementation of the research/information systems function are university faculty members and student interns.

University departments provide technical assistance and information at no cost or minimal cost as a professional service to the community. Even if some fee is charged, that fee is nearly always less than that of a private consultant. Because of the relationship of community-based corrections to social sciences (e.g., psychology, sociology), human services, and social services, associated departments or programs within the university system could be requested to participate in CCA research projects.

Besides faculty, the second obvious resource pool is graduate and undergraduate students who require training in applied research or who must complete research papers or projects to fulfill degree requirements. Such individuals are often well-trained and conscientious and, if appropriately supervised, produce excellent work products. Both faculty and student interns should be accessed as auxiliary research/information systems resources by local community corrections organizations.

Strategies for implementing low-budget research projects are both project-specific and area-specific. Thus, across-the-board recommendations about how to deal with



insufficient resources for research cannot be readily formulated and presented here. In general, the keys to maintaining research quality while operating with little money are: 1) expertise in research methodology (e.g., knowing different ways to collect the same information); 2) research planning; and 3) resource management (e.g., identifying appropriate resources). The quality of management of the research function substantially affects the efficient management of whatever research resources are available.

Finally, some evidence suggests that research is not managed effectively at the local level. To the extent that research programs or projects are not being systematically managed by local community corrections organizations, then the validity of the argument that the costs of research are too high cannot be assessed. The cost of research should be offset by the increase in organizational efficiency observed from effective reallocation of organizational resources. As a final suggestion, research consultants and/or appropriate DOC staff should be brought in to assist local community corrections organizations in the development of a research program and provide technical assistance in the management of research resources.

#### C. Research/Information Systems: Summary and Conclusions

The perception of individuals participating in local community corrections organizations is that research has emerged as a developing organizational function under CCA. There have, however, been few comprehensive research efforts completed and published across CCA areas. What has been done is viewed as somewhat useful and timely, although the quality is appraised as high by individuals involved in local community corrections organizations. The review and approval of research/information systems designs and processes provided by the DOC has been both good and timely, but, equivocally, has only somewhat facilitated local research/information systems efforts. The DOC technical assistance that has taken place has not occurred on a systematic basis. It appears as if individuals involved in local community corrections organizations think that additional technical assistance from the DOC is warranted, but specific topical areas cannot be readily articulated. The inference here is that the DOC should identify local needs with respect to research and information systems and provide technical assistance accordingly.

In terms of quantitative data, half of the local community corrections organizations maintain a staff researcher and a research/information systems committee or an evaluation committee. More than half the CCA areas for which data are available do not maintain a written research policy statement or associated guidelines or criteria. In terms of actual research conducted, virtually all the local community corrections organizations have carried out studies or investigations, but none have developed a research program. No independent information about the quality of the research conducted or its utility within decision-making contexts has been gathered here. Dissemination of research results has largely been inhouse through the distribution of data summaries. Virtually all CCA areas have incorporated data within decision-making contexts represented by the inclusion of data into comprehensive plans, but the goodness of fit between the data utilized and the programs established has not been estimated. Finally, nearly all CCA areas maintain operational computerized, offender-based information systems.

Based upon quantitative measures of indices of research/information systems employed plus an overall rating of the research function by individuals involved in community corrections at the local level, an average research/information systems implementation score of sixty-five percent has been computed. Based upon the implementation

criteria delineated, this score is interpreted to mean that the research/information systems function has been partially implemented.

Five major issues have surfaced with respect to research and information systems: 1) insufficient technical assistance by DOC/inadequate research and information systems guidelines and criteria; 2) nonstandardized information systems design; 3) insufficient utilization of data collected; 4) incomplete institutionalization of research/information systems as a function of local community corrections organizations; and 5) prohibitive research/information systems costs.

A set of suggestions has been put forth to assist in the resolution of the issues identified. In general, those suggestions are to: 1) secure ongoing technical assistance from DOC; 2) use external consultants to provide technical assistance; 3) eliminate local information systems and utilize the DOC information system or a minicomputer approach; 4) secure research resource support from university faculty and students; and 5) provide significant individuals with the information and experience necessary to understand and accept research/information systems as a legitimate organizational function. Table 12 is included here as a reference to indicate adherence to or support of the suggestions formulated within and across local community corrections organizations.

#### VI. RESULTS: BUDGETING

The final organizational function that is covered is budgeting. Before beginning, it should be pointed out that CCA funding issues (e.g., funding levels, equitability of the subsidy formula) are not covered here. The CCA Funding Committee is addressing those issues in a separate study that will be published early in 1981.

##### A. Budgeting: Achievements and Changes

Again, for the budgeting function, data pertaining to the opinions of individuals involved in local community corrections organizations as well as quantitative measures of budgeting are reported.

##### 1. Perceptions of Achievements and Changes

Two major accomplishments have been delineated for the budgeting function. The first is fiscal accountability. Survey respondents have reported that, since the implementation of the CCA, the budgeting function has evolved to include program budgeting and budget review. (Program budgeting, in abbreviated definition, involves the establishment of a separate budget for each program incorporated within a comprehensive plan. Each budget classifies expenditures by line item, e.g., personnel.)

Use of program budgeting has two effects that encourage fiscal accountability: a) the capacity to monitor program expenditures for individual programs on an ongoing basis; and b) the capacity to conduct cost analyses, e.g., the breakdown of costs by type of correctional service. These capacities coupled with budget review and approval by advisory boards, county boards, and the DOC mean that local community corrections organizations justify programming and expenditures to three levels of decision makers. These accomplishments represent a change from a pre-CCA state in which budgets were apparently hard to understand and where determining exactly where funds were going was extremely difficult.

TABLE 12: Suggested Changes in the Research/Information Systems Function by Local Community Corrections Organization

CCA Area	RECOMMENDED CHANGES				
	Secure Ongoing Technical Assistance From DOC (1) <sup>a</sup>	Use External Consultants to Provide Technical Assistance (1)	Eliminate Current Local Information Systems/ Utilize DOC Information System or Minicomputer System (2,2a,2b,5)	Provide Information about the Utility of Research/Information Systems (3,4)	Secure Research Resource Support from University Faculty/Student Interns (5)
6W		•	•	•	•
Anoka	•	•			•
ARC	•			•	•
Blue Earth	•	•	•	•	•
Crow Wing-Morrison	•	•	•	•	•
Dodge-Fillmore-Olmsted	•	•	•	•	•
Hennepin	•	•		•	•
Ramsey	--	--	--	--	--
Red Lake-Polk-Norman	•	•		•	•
Rock-Nobles	•			•	•
Todd-Wadena	•	•	•	•	•
Washington	•	•		•	•

<sup>a</sup>Numbers in parentheses refer to the research/information systems issues ostensibly resolved if the suggested changes are implemented:  
 1 - Insufficient technical assistance by DOC/inadequate research and information systems guidelines and criteria  
 2 - Nonstandardized information systems design  
 2a - Nonequivalent data elements  
 2b - Duplicative costs  
 3 - Insufficient utilization of data collected  
 4 - Institutionalization of research/information systems as a function of local community corrections organizations  
 5 - Prohibitive research/information systems costs

The second accomplishment of the CCA budgeting function is associated with the ability (given certain constraints) to project resource needs in conjunction with the planning function. The availability of program budget data from past years of local CCA operation yields information about past costs incurred in providing different types of correctional services. These data, combined with estimates or projections of the number of offenders in a county and of offender/community needs for various correctional services, permit estimation of resource need and preliminary judgment of resource allocation/reallocation, budget planning. Overall, the capacity to achieve effective and efficient resource allocation and reallocation is enhanced, given this capacity for budget planning.

## 2. Quantitative Measures of the Budgeting Function

Table 13 contains objective indices of the CCA budgeting function. All of the local community corrections organizations produce annual CCA budgets based upon various kinds of budget analyses. Half of the CCA areas have a budget officer. The CCA administrators maintain responsibility for carrying out all aspects of the budgeting process for the local CCA organizations that do not have a staff budget officer.

In terms of products produced, Table 14 reveals that individuals involved in local community corrections organizations think that the local CCA budgets that are prepared are somewhat easy to understand and the information presented is somewhat clear. The budgets produced are considered assets to decision-making processes.

Based upon the data in Tables 13 and 14, an average budgeting implementation score has been computed. The average budgeting implementation score is eighty-eight percent and indicates that the budgeting function has been fully implemented within local community corrections organizations.

### B. Budgeting: Problems and Issues

Four budgeting issues have surfaced: 1) county and state budgeting cycles are not synchronized; 2) county and DOC budget forms are different; 3) quarterly financial status reports are inefficient and time-consuming; and 4) advisory boards often do not understand the budgetary implications of policy decisions.

#### 1. County and State Budgeting Cycles Are Not Synchronized

The state budgeting cycle is based upon a fiscal year; that of the counties is typically the calendar year. Consequently, local CCA budgets for a twelve month period span portions of two fiscal years. In addition, the legislative budgeting cycle is biennial, but the appropriation of funds takes place annually. The appropriation takes place during the January to May time period immediately preceding the beginning of the fiscal year for which the appropriation is drawn. As a result of these conditions, the amount of the CCA subsidy transmitted to local community corrections organizations is not known until almost the start of each fiscal year and unknown for the second half of any odd-numbered calendar year. This situation is viewed as problematic from the perspective of planning and budgeting for local community corrections organizations. The maintenance of correctional services supported by state money is not guaranteed for the second half of any odd-numbered calendar year, nor, is it even known exactly until almost the start of a given fiscal year. (The county CCA budget subsidy is allocated for a calendar year, so the entire amount allocated to community-based corrections is known prior to the beginning of the calendar year.)

TABLE 13: Indicators of Implementation of the Budgeting Function by Local Community Corrections Organization

CCA Area	Budget Officer?	Produce Annual Budget?	Conduct Budget Analyses?	Rating of Readability of CCA Budget <sup>a</sup>	Rating of Clarity of CCA Budget <sup>a</sup>	Total Budgeting Score	Budgeting Implementation Score	Rank
6W	No	Yes	Yes	+	+	4	80% (4/5)	9
Anoka	Yes	Yes	Yes	-- <sup>b</sup>	+	4	100% (4/4)	3.5
ARC	Yes	Yes	Yes	+	+	5	100% (5/5)	3.5
Blue Earth	Yes	Yes	Yes	+	+	5	100% (5/5)	3.5
Crow Wing-Morrison	No	Yes	Yes	+	+	4	80% (4/5)	9
Dodge-Fillmore-Olmsted	No	Yes	Yes	+	+	4	80% (4/5)	9
Hennepin	Yes	Yes	Yes	+	+	5	100% (5/5)	3.5
Ramsev	Yes	Yes	Yes	+	+	5	100% (5/5)	3.5
Red Lake-Polk Norman	Yes	Yes	Yes	+	+	5	100% (5/5)	3.5
Rock-Nobles	No	Yes	Yes	+	+	4	80% (4/5)	9
Todd-Wadena	No	Yes	Yes	+	+	4	80% (4/5)	9
Washington	No	Yes	Yes	-	+	3	60% (3/5)	12
AVERAGE :						4.3	88%	

<sup>a</sup>Overall rating is derived from the opinions of advisory board members, CCA administrators and staff, and the CCA specialist for each CCA area. Refer to Table 14.  
<sup>b</sup>Total budgeting score is computed as the sum of the number of "yes" and "+" measures observed within each CCA area.  
<sup>c</sup>Budgeting implementation score = Total budgeting score ÷ Maximum budgeting score (5 points).  
<sup>d</sup>Budgeting implementation scores evaluate level of effort but do not reflect an overall assessment of quality, effectiveness or efficiency.  
<sup>e</sup>Bimodal ratings of the readability of the CCA budgets were observed. One rating was positive, the other negative. Therefore, since ratings cancelled each other, no overall sign was assigned.

TABLE 14: Ratings of Aspects of the Budgeting Process by Local Community Corrections Organization

Variable	C C A AREA							
	All (n <sub>All</sub> =294)		6W (n <sub>6W</sub> =23)		Anoka (n <sub>ANK</sub> =23)		ARC (n <sub>ARC</sub> =35)	
	Modal Response:	Percent <sup>a</sup>	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent
Readability of CCA Budget <sup>b</sup>	Somewhat Easy to Understand (4.0):	37%	Somewhat Easy to Understand (4.0):	57%	Somewhat Difficult to Understand (2.0): Very Easy to Understand (5.0):	26% 26%	Somewhat Easy to Understand (4.0):	36%
Clarity of Information in CCA Budget <sup>c</sup>	Understand to an Extent (3.0):	37%	Understand to an Extent (3.0):	52%	Understand to an Extent (3.0):	39%	Understand to an Extent (3.0): Completely Understand (4.0):	31% 31%

<sup>a</sup>Percent of respondents choosing modal response category.

<sup>b</sup>Rating scale ranged from 1 to 5, where "1" is "very difficult," "2" is "somewhat difficult," "3" is "undecided," "4" is "somewhat easy," "5" is "very easy."

<sup>c</sup>Rating scale ranged from 1 to 4, where "1" is "do not understand," "2" is "slightly understand," "3" is "understand to some extent," "4" is "completely understand."

TABLE 14: Ratings of Aspects of the Budgeting Process by Local Community Corrections Organization

Variable	C C A AREA							
	Blue Earth (n <sub>BE</sub> =24)		Crow Wing-Morrison (n <sub>CWM</sub> =25)		Dodge-Fillmore-Olmsted (n <sub>DFO</sub> =34)		Hennepin (n <sub>HENN</sub> =26)	
	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent
Readability of CCA Budget <sup>a</sup>	Somewhat Easy to Understand (4.0):	29%	Somewhat Easy to Understand (4.0):	40%	Somewhat Easy to Understand (4.0):	56%	Somewhat Easy to Understand (4.0):	42%
	Don't Know:	25%						
Clarity of Information in CCA Budget <sup>c</sup>	Understand to an Extent (3.0):	25%	Understand to an Extent (3.0):	52%	Understand to an Extent (3.0):	47%	Understand to an Extent (3.0):	35%



TABLE 14: Ratings of Aspects of the Budgeting Process by Local Community Corrections Organization

Variable	C C A AREA			
	Ramsey (n <sub>RAM</sub> =21)	Red Lake-Polk- Norman (n <sub>RPN</sub> =24)	Rock- Nobles (n <sub>RN</sub> =16)	Todd- Wadena (n <sub>TW</sub> =21)
	Modal Response: Percent	Modal Response: Percent	Modal Response: Percent	Modal Response: Percent
Readability of CCA Budget <sup>a</sup>	Somewhat Easy to Understand (4.0): 38%	Somewhat/Very Easy to Understand (4.5): 42%	Somewhat Easy to Understand (4.0): 56%	Very Easy to Understand (5.0): 52%
Clarity of Information in CCA Budget <sup>c</sup>	Understand to an Extent (3.0): 38%	Completely Understand (4.0): 42%	Completely Understand (4.0): 50%	Completely Understand (4.0): 52%

TABLE 14: Ratings of Aspects of the Budgeting Process by Local Community Corrections Organization

Variable	C C A AREA	
	Washington Modal Response:	(n <sub>WASH</sub> =21) Percent
Readability of CCA Budget <sup>b</sup>	Somewhat Difficult to Understand (2.0):	43%
Clarity of Information in CCA Budget <sup>c</sup>	Understand to an Extent (3.0):	52%

In addition, there are different time lines for submission of local CCA budgets in comprehensive plans to advisory boards, county boards, and to the DOC, respectively, for review and approval. Depending upon the CCA area considered, the budgets/comprehensive plans often must be submitted to the advisory board by the end of March or April, the county board during the mid portion of the year, and to the DOC by October 1st. Thus, the budgets/comprehensive plans must actually be prepared from six to eighteen months in advance of the start of the fiscal year for which they apply.

The uncertainty about the exact amounts of the CCA subsidy and the size of the institutional commitment budget, combined with the logistic necessity of projecting funding needs from six to eighteen months in advance, all contribute to potential programming instability within local community corrections organizations. In other words, a nonstable funding base yields the potential for nonstable community corrections programming.

#### a. Suggestions for Resolution

The issue of nonsynchronized budgeting cycles is one that does not lend itself to ready or permanent resolution. For example, three suggestions which have been put forth are: 1) to have the state legislature appropriate funds for CCA for two fiscal years; 2) to have the legislature guarantee a stable funding level for the county budgeting year that cuts across two fiscal years; and 3) to change the timing of the annual appropriation process so that it is completed in the October-December time period, thus allowing seven to nine months lead time before fiscal year startup, thus allowing for possible budget modification. All of these suggestions have a deal of common sense appeal. There are, however, a number of legal and fiscal factors involved (such as the federal budgeting cycle) which would inhibit or prohibit the implementation of such suggestions.

In this situation, the most tenable solution appears to be in place. Given prior information about possible budget cuts, the inflation rate, institutional commitment budgets and the like, CCA administrators or financial officers should construct budgets which are conservatively based upon the maximum projected impact of all identifiable factors. As a hypothetical example, if a projected state budget cut is ten percent then the budget of a local community corrections organization should be adjusted accordingly. If the hypothetical budget cut did not take place or was less than ten percent the local CCA organization would have a budget surplus. What it would not have would be a sudden deficit that might force an abrupt change in correctional service delivery. The organization's budget would have been cut back in a timely fashion consistent with principles of sound management. Simply stated, the best way to manage an uncertain environment is to utilize all information about potential impact and adjust budget estimates accordingly.

#### 2. County and DOC Budget Forms Are Different

The counties and the DOC have different budget forms, which necessitate the preparation of separate budgets for county and state government review and approval. For example, DOC budget forms lump fringe benefits, while county budget forms break down fringe benefits into categories such as retirement, social security, and so on. Production of two budgets containing basically the same information is viewed as duplicative, inefficient, and time-consuming.

#### a. Suggestions for Resolution

Common opinion among CCA administrators is that the DOC should change its budget forms to the uniform chart of accounts (or other uniform budgeting format) currently used by counties that fall under the Human Services Act. Apparently a number of relevant state departments (e.g., Welfare Department) accept this budgeting format. Use of one budgeting format would facilitate cross systems planning (and, perhaps, cooperative program funding or cooperative training) by allowing comparison of service units across departments, agencies, programs, organizations, and/or counties. Use of the uniform chart of accounts budgeting format or other uniform budgeting format would standardize budgetary information, and it is suggested that it be adopted by the DOC for its own use. If, for some reason, the uniform chart of accounts budgeting format cannot be used, then it is suggested that new budget forms acceptable to the state and to the counties be developed.

#### 3. Quarterly Financial Status Reports Are Inefficient and Time-Consuming

The production of financial status reports for the DOC four times per year is viewed as time-consuming and inefficient. The first quarter's financial status report has been cited as particularly problematic for several reasons. The first reason is that a number of programs, especially when they are starting up, do not expend a great deal of money. Further, if programs have been operating for some period of time, their spending levels for the first quarter of a year usually do not substantially differ from those of the fourth quarter of the previous year. The third reason that quarterly financial status reports are viewed as problematic is that accounts and other fiscal matters from the fourth quarter of the preceding calendar year are still being dealt with during the first quarter of the next year. From the standpoint of economy of workload and efficiency in information transmission, quarterly financial status reports are considered too frequent.

#### a. Suggestions for Resolution

Since financial status reports are viewed by survey respondents as valuable mechanisms for monitoring program expenditures, continuation of the reports is suggested. The frequency with which the reports are produced should be modified, however (at least after an area's first year under CCA). The suggestion that is made is to require semiannual financial status reports. The first financial status report should be submitted to the DOC six months into the calendar year, which corresponds to the end of the state fiscal year. The second financial status report should be submitted to the DOC at the end of the calendar year, which corresponds to the close of the county funding year. Financial status reports should be forwarded with the semi-annual progress reports submitted by local community corrections organizations. In this way, expenditures will continue to be monitored both by the DOC and by local community corrections organizations, but duplication of effort should be reduced. Because of the fact that counties which have recently entered CCA could benefit from the preparation of quarterly financial status reports, it is also suggested that newly-joined local CCA areas submit quarterly financial status reports for a period of one or two years.

#### 4. Advisory Boards Often Do Not Understand the Budgetary Implications of Policy Decisions

A concern that has been expressed, primarily by CCA administrators and staff, is that advisory board members frequently do not understand the budgetary implications of policy decisions. A simple example is deciding to expand a given type of correctional service. Typically, a policy decision to expand service is coupled with either a directive to add staff or the addition of staff is implied in the decision. The amount of

funds necessary to expand the provision of the correctional service may not be considered or fully understood. If not controlled, the potential for adversely affecting the quality of that particular service as well as other correctional services exists, since available resources would have to be redistributed.

#### a. Suggestions for Resolution

In situations where the budgetary implications of policy decisions are discussed prior to implementation, the policy decisions are often mediated by fiscal constraints. CCA administrators or fiscal officers must maintain responsibility for ensuring that a component of the information presented to advisory boards in their policy-related decisions is cost and impact data. If an analogous procedure is not currently carried out, then it is strongly suggested that advisory board policies be modified to require the completion of preliminary cost analyses and impact analyses prior to finalization of policy decisions.

To the extent that knowledge of the budgeting process, familiarity with cost analyses, and familiarity with impact analyses are needed by either CCA staff or advisory board members, then information about and practical application of these should be provided. Suggestions which are made are to: 1) conduct training sessions and 2) prepare and distribute a training film or slideshow about the association between funding processes and policy decisions. The training film or slideshow could be shown during the advisory board meeting or as a component of an orientation process for advisory board members.

#### C. Budgeting: Summary and Conclusions

Two major accomplishments have reportedly been realized within the budgeting function of local community corrections organizations. They are: fiscal accountability (through program budgeting and budget review) and the ability (given certain constraints) to project resource needs, that is, to conduct budget planning. Specific facts about the local CCA budgeting function are: 1) all of the local community corrections organizations conduct budget analyses which are incorporated into comprehensive plans; 2) half of the CCA areas maintain a budget officer, but in the remaining half the CCA administrator is responsible for constructing budgets and for preparing budget reports; and 3) as products of the budgeting function, budget documents are thought to be somewhat easy to understand and somewhat clear by individuals involved in local community corrections organizations. Based upon both quantitative and qualitative data, an average budgeting implementation score has been computed. The average budgeting implementation score of eighty-eight percent indicates that the budgeting function has been fully implemented within local community corrections organizations.

Four budgeting issues have been delineated. First, county and state budgeting cycles are not synchronized. As a result of nonsynchronous budgeting cycles, the amount of the CCA subsidy transmitted to local community corrections organizations is not known until almost the start of each state fiscal year and unknown for the second half of any odd-numbered calendar year. The second budgeting issue is that county and state budget forms are different, necessitating the preparation of two different budgets for state and local budget review and approval. Third, quarterly financial status reports are inefficient and time-consuming either because the level of program expenditures for the first quarter of a calendar year is frequently quite similar to those of the last quarter of the preceding calendar year; or the level of expenditures during the first quarter of a calendar year is not large if a program is just starting up.

TABLE 15: Suggested Changes in the Budgeting Function by Local Community Corrections Organization

CCA Area	SUGGESTED CHANGES				
	Exercise Conservative, Informed Management (1) <sup>a</sup>	Budgeting Format (2)	Require Budget Reports Semiannually (3)	Provide Training in Budgetary Implications of Policy Decisions/Produce Training Films or Slideshows (4)	Provide Data on Cost/Impact (4)
6W	•		•	•	
Anoka	•		•		
ARC	•	•			•
Blue Earth	•	•	•	•	•
Crow Wing-Morrison	•	•	•	•	•
Dodge-Fillmore-Olmsted	•	•	•	•	•
Hennepin	•		•	•	•
Ramsey	--	--	--	--	--
Red Lake-Polk-Norman	•				•
Rock-Nobles	•	•	•	•	•
Todd-Wadena	•		•	•	•
Washington	•	•	•	•	•

<sup>a</sup>Numbers in parentheses refer to the associated budget issues ostensibly resolved if the suggested changes are implemented:  
 1 - County and state budgeting cycles are not synchronized  
 2 - County and DOC budget forms are different  
 3 - Quarterly budget reports are inefficient and time-consuming  
 4 - Advisory boards often do not understand the budgetary implications of policy decisions

Thus, the monitoring of expenditures four times per year is considered inefficient because of redundant or scarce information. A final budgeting issue that has arisen is that advisory board members often do not understand the budgetary implications of policy decisions. Without either cost data or analysis of budget impact, possible results of policy decisions can be overcommitment and an associated reduction in the overall quality of correctional services provided.

Five suggestions have been offered to resolve budgeting problems and issues: 1) application of a conservative budget management strategy to assess and adjust for the maximum possible impact of factors on resource availability; 2) adoption of the uniform chart of accounts budgeting format or other uniform budgeting format; 3) scheduling of semiannual financial status reports, one to conform to the end of the state fiscal year, the other to the end of the calendar year; 4) require the provision of cost and impact data to advisory board members for incorporation within decision-making contexts; and 5) provide technical information and experience to advisory board members in the use of cost/impact data to make policy, planning, and funding decisions. Table 15 is a readily interpretable mechanism for identifying the degree of consensus that exists between the budget issues that have been discussed and the suggested changes that have been proposed within and across local community corrections organizations.

#### VII. RESULTS: STRUCTURE OF LOCAL COMMUNITY CORRECTIONS ORGANIZATIONS

As specified in the Introduction to this component of the CCA evaluation, organizational interaction will receive primary emphasis in the appraisal of organizational structure. Five behavioral constructs have been incorporated here to represent different aspects of interaction among the individuals involved in local community corrections organizations:

1. Cooperation satisfaction
2. Organizational viability
3. Organizational legitimacy
4. Contextual environmental impact
5. Collaboration

Data pertaining to these behavioral constructs are discussed in conjunction with achievements, problems and issues, and changes in interaction which have evolved since the Community Corrections Act was implemented. The format that has been followed in discussing organizational function is maintained in this section.

##### A. Behavioral Constructs as Indices of Organizational Structure

The behavioral constructs identified above are discussed in sequence. Each has been selected because it represents an aspect of organizational interaction that is important to any organization formed to serve as a coordination-control mechanism.

##### 1. Cooperation Satisfaction

The term cooperation satisfaction refers to the perceived satisfaction with the way individuals involved in local community corrections organizations work together and to the extent to which additional cooperation is needed. Table 16 lists the behavioral



TABLE 16: Organizational Structure Measured as Behavioral Constructs Pertaining to Organizational Interaction

Behavioral Construct	Variable	All (n <sub>All</sub> =294)		GW (n <sub>GW</sub> =23)		Anoka (n <sub>Ano</sub> =23)		ARC (n <sub>ARC</sub> =36)	
		Modal Response: Satisfied (4.0):	Percent: 43%	Modal Response: Satisfied (4.0):	Percent: 61%	Modal Response: Satisfied (4.0):	Percent: 39%	Modal Response: Satisfied (4.0):	Percent: 47%
COOPERATION/COOPERATION SATISFACTION	"TO WHAT EXTENT ARE YOU SATISFIED WITH THE WAY INDIVIDUALS INVOLVED WITH CCA AT THE LOCAL LEVEL HAVE COOPERATED WITH EACH OTHER?"								
	"TO WHAT EXTENT IS INCREASED COOPERATION NEEDED AT THE LOCAL LEVEL?"	Some Needed (2.0):	58%	Some Needed (2.0):	83%	Some Needed (2.0):	52%	Some Needed (2.0):	58%
ORGANIZATIONAL VIABILITY	"HOW IMPORTANT IS THE LOCAL COMMUNITY CORRECTIVE ORGANIZATION TO THE SUCCESS OF THE COMMUNITY CORRECTIONS ACT?"	Very Important (5.0):	43%	Very Important (5.0):	61%	Important (4.0):	48%	Very Important (5.0):	42%
	"TO WHAT EXTENT ARE INDIVIDUALS INVOLVED IN THE CCA AT THE LOCAL LEVEL WILLING TO WORK TOGETHER TO ACHIEVE COMMON GOALS?"	Somewhat Willing (4.0):	39%	Somewhat Willing (4.0):	57%	Somewhat/Completely Willing (4.5):	74%	Somewhat Willing (4.0):	42%
ORGANIZATIONAL VIABILITY	"HOW CAPABLE IS THE LOCAL COMMUNITY CORRECTIONS ORGANIZATION OF ENSURING THAT THE CCA WORKS?"	Somewhat/Very Capable (4.5):	70%	Somewhat/Very Capable (4.5):	83%	Somewhat Capable (4.0):	52%	Somewhat/Very Capable (4.5):	58%
	"TO WHAT EXTENT DO INDIVIDUALS INVOLVED IN CCA AT THE LOCAL LEVEL AGREE UPON WHAT THE CCA SHOULD ACCOMPLISH?"	Somewhat Agree (4.0):	55%	Somewhat Agree (4.0):	65%	Somewhat Agree (4.0):	70%	Somewhat Agree (4.0):	50%
ORGANIZATIONAL VIABILITY	"IN YOUR OPINION, HOW MUCH AGREEMENT IS THERE ABOUT THE BENEFITS THAT CAN BE GAINED FROM WORKING TOGETHER ON THE CCA?"	Some Agreement (4.0):	49%	Some Agreement (4.0):	52%	Some Agreement (4.0):	57%	Some Agreement (4.0):	47%
	"TO WHAT EXTENT DO LOCAL INDIVIDUALS INVOLVED IN CCA KNOW ABOUT THE NEGATIVE CONSEQUENCES OF FAILING TO WORK TOGETHER?"	Some Agreement (4.0):	43%	Some Agreement (4.0):	44%	Some Agreement (4.0):	44%	Some Agreement (4.0):	31%
ORGANIZATIONAL VIABILITY	"HOW CLEARLY DO LOCAL INDIVIDUALS INVOLVED IN CCA UNDERSTAND ALL THEIR RESPONSIBILITIES WITH RESPECT TO THE CCA?"	Somewhat Clearly (4.0):	41%	Somewhat Clearly (4.0):	44%	Somewhat Clearly (4.0):	48%	Somewhat Clearly (4.0):	28%
	"HOW CLEARLY HAVE LOCAL INDIVIDUALS INVOLVED IN CCA IDENTIFIED WHAT SHOULD BE ACCOMPLISHED UNDER CCA?"	Somewhat Clearly (4.0):	46%	Somewhat Clearly (4.0):	52%	Somewhat/Very Clearly (4.5):	52%	Somewhat Clearly (4.0):	36%
CONTEXTUAL ENVIRONMENTAL IMPACT	"TO WHAT EXTENT ARE LOCAL INDIVIDUALS INVOLVED IN CCA WILLING TO COOPERATIVELY REVIEW WHAT THEY EXPECT TO ACCOMPLISH UNDER THE CCA?"	Somewhat Willing (4.0):	42%	Somewhat/Completely Willing (4.5):	74%	Somewhat/Completely Willing (4.5):	82%	Somewhat Willing (4.0):	55%
	"TO WHAT EXTENT DO LOCAL INDIVIDUALS INVOLVED IN CCA AGREE THAT WORKING TOGETHER IS MORE EFFECTIVE THAN WORKING SEPARATELY?"	Somewhat/Completely Agree (4.5):	75%	Somewhat Agree (4.0):	57%	Somewhat/Completely Agree (4.5):	87%	Somewhat/Completely Agree (4.5):	69%
COLLABORATION	"TO WHAT EXTENT ARE LOCAL INDIVIDUALS INVOLVED IN CCA WILLING TO ASSUME RESPONSIBILITIES ASSOCIATED WITH THE CCA?"	Somewhat Willing (4.0):	52%	Somewhat Willing (4.0):	74%	Somewhat/Completely Willing (4.5):	74%	Somewhat/Completely Willing (4.5):	64%
	"TO WHAT EXTENT ARE LOCAL INDIVIDUALS INVOLVED IN CCA WILLING TO SIT DOWN AND DISCUSS HOW CCA RESPONSIBILITIES SHOULD BE SHARED?"	Somewhat/Completely Willing (4.5):	72%	Somewhat Willing (4.0):	74%	Somewhat/Completely Willing (4.5):	78%	Somewhat/Completely Willing (4.5):	69%

TABLE 16: Organizational Structure Measured as Behavioral Constructs Pertaining to Organizational Interaction

Behavioral Construct	Variable	Blue Earth (n <sub>BE</sub> =24)		Crow Wing-Morrison (n <sub>CM</sub> =25)		Dodge-Fillmore-Dinestad (n <sub>DFD</sub> =34)		Hennepin (n <sub>HE</sub> =26)	
		Modal Response: Dissatisfied/Very Dissatisfied (1.5):	Percent: 54%	Modal Response: Satisfied (4.0):	Percent: 48%	Modal Response: Very Satisfied (5.0):	Percent: 53%	Modal Response: Dissatisfied (2.0):	Percent: 35%
COOPERATION/COOPERATION SATISFACTION	"TO WHAT EXTENT ARE YOU SATISFIED WITH THE WAY INDIVIDUALS INVOLVED WITH CCA AT THE LOCAL LEVEL HAVE COOPERATED WITH EACH OTHER?"								
	"TO WHAT EXTENT IS INCREASED COOPERATION NEEDED AT THE LOCAL LEVEL?"	Some Needed (2.0):	54%	Some Needed (2.0):	68%	Some Needed (2.0):	71%	Some/Greatly Needed (1.5):	77%
ORGANIZATIONAL VIABILITY	"HOW IMPORTANT IS THE LOCAL COMMUNITY CORRECTIVE ORGANIZATION TO THE SUCCESS OF THE COMMUNITY CORRECTIONS ACT?"	Somewhat/Very Important (4.0):	71%	Important/Very Important (4.5):	60%	Very Important (5.0):	59%	Important/Very Important (4.5):	54%
	"TO WHAT EXTENT ARE INDIVIDUALS INVOLVED IN THE CCA AT THE LOCAL LEVEL WILLING TO WORK TOGETHER TO ACHIEVE COMMON GOALS?"	Somewhat Willing (4.0):	42%	Somewhat Willing (4.0):	40%	Completely Willing (5.0):	44%	Somewhat Willing (4.0):	31%
ORGANIZATIONAL VIABILITY	"HOW CAPABLE IS THE LOCAL COMMUNITY CORRECTIONS ORGANIZATION OF ENSURING THAT THE CCA WORKS?"	Very/Somewhat Incapable (4.5):	41%	Somewhat Capable (4.0):	44%	Very Capable (5.0):	68%	Somewhat Capable (4.0):	27%
	"TO WHAT EXTENT DO INDIVIDUALS INVOLVED IN CCA AT THE LOCAL LEVEL AGREE UPON WHAT THE CCA SHOULD ACCOMPLISH?"	Somewhat Agree (4.0):	38%	Somewhat Agree (4.0):	52%	Somewhat Agree (4.0):	68%	Somewhat Agree (4.0):	39%
ORGANIZATIONAL VIABILITY	"IN YOUR OPINION, HOW MUCH AGREEMENT IS THERE ABOUT THE BENEFITS THAT CAN BE GAINED FROM WORKING TOGETHER ON THE CCA?"	Some Agreement (4.0):	58%	Some Agreement (4.0):	52%	Some/Complete Agreement (4.5):	79%	Some Disagreement (2.0):	39%
	"TO WHAT EXTENT DO LOCAL INDIVIDUALS INVOLVED IN CCA KNOW ABOUT THE NEGATIVE CONSEQUENCES OF FAILING TO WORK TOGETHER?"	Some Agreement (4.0):	50%	Some Agreement (4.0):	48%	Some Agreement (4.0):	59%	Some Agreement (4.0):	42%
CONTEXTUAL ENVIRONMENTAL IMPACT	"HOW CLEARLY DO LOCAL INDIVIDUALS INVOLVED IN CCA UNDERSTAND ALL THEIR RESPONSIBILITIES WITH RESPECT TO THE CCA?"	Somewhat Clearly (4.0):	38%	Somewhat Unclearly (2.0):	36%	Somewhat Clearly (4.0):	59%	Somewhat Unclearly (2.0):	46%
	"HOW CLEARLY HAVE LOCAL INDIVIDUALS INVOLVED IN CCA IDENTIFIED WHAT SHOULD BE ACCOMPLISHED UNDER CCA?"	Unclearly/Somewhat Clearly (2.5):	46%	Somewhat Clearly (4.0):	60%	Somewhat Clearly (4.0):	62%	Somewhat Clearly (4.0):	42%
COLLABORATION	"TO WHAT EXTENT ARE LOCAL INDIVIDUALS INVOLVED IN CCA WILLING TO COOPERATIVELY REVIEW WHAT THEY EXPECT TO ACCOMPLISH UNDER THE CCA?"	Somewhat Willing (4.0):	50%	Somewhat Willing (4.0):	48%	Completely Willing (5.0):	65%	Somewhat Willing (4.0):	39%
	"TO WHAT EXTENT DO LOCAL INDIVIDUALS INVOLVED IN CCA AGREE THAT WORKING TOGETHER IS MORE EFFECTIVE THAN WORKING SEPARATELY?"	Somewhat Agree (4.0):	75%	Somewhat Agree (4.0):	52%	Completely Agree (5.0):	62%	Somewhat Agree (4.0):	46%
COLLABORATION	"TO WHAT EXTENT ARE LOCAL INDIVIDUALS INVOLVED IN CCA WILLING TO ASSUME RESPONSIBILITIES ASSOCIATED WITH THE CCA?"	Somewhat Willing (4.0):	58%	Somewhat Willing (4.0):	68%	Somewhat/Completely Willing (4.5):	91%	Somewhat Willing (4.0):	54%
	"TO WHAT EXTENT ARE LOCAL INDIVIDUALS INVOLVED IN CCA WILLING TO SIT DOWN AND DISCUSS HOW CCA RESPONSIBILITIES SHOULD BE SHARED?"	Somewhat Willing (4.0):	38%	Somewhat Willing (4.0):	60%	Completely Willing (5.0):	55%	Somewhat Willing (4.0):	31%

TABLE 16: Organizational Structure Measured as Behavioral Constructs Pertaining to Organizational Interaction

Behavioral Construct	Variable	Runsey (n <sub>RAV</sub> =21)		Rud Laku-Norman (n <sub>RPN</sub> =24)		Rock-Nobles (n <sub>RN</sub> =10)		Lajo-Madena (n <sub>LM</sub> =21)	
		Modal Response	Percent	Modal Response	Percent	Modal Response	Percent	Modal Response	Percent
COOPERATION SATISFACTION	TO WHAT EXTENT ARE YOU SATISFIED WITH THE WAY INDIVIDUALS INVOLVED WITH CCA AT THE LOCAL LEVEL HAVE COOPERATED WITH EACH OTHER?	Satisfied (4.0):	52%	Satisfied/Very Satisfied (4.5):	75%	Satisfied (3.5):	50%	Satisfied (4.0):	43%
	TO WHAT EXTENT IS INCREASED COOPERATION NEEDED AT THE LOCAL LEVEL?	Some Needed (2.0):	43%	Some Needed (2.0):	42%	Some Needed (2.0):	44%	Some Needed (2.0):	52%
ORGANIZATIONAL VIABILITY	HOW IMPORTANT IS THE LOCAL COMMUNITY CORRECTIONS ORGANIZATION TO THE SUCCESS OF THE COMMUNITY CORRECTIONS ACT?	Very Important (5.0):	52%	Very Important (5.0):	50%	Important/Very Important (4.5):	50%	Very Important (5.0):	43%
	TO WHAT EXTENT ARE INDIVIDUALS INVOLVED IN THE CCA AT THE LOCAL LEVEL WILLING TO WORK TOGETHER TO ACHIEVE COMMON GOALS?	Somewhat Willing (4.0):	43%	Completely Willing (5.0):	46%	Somewhat Willing (4.0):	31%	Completely Willing (5.0):	57%
ORGANIZATIONAL LEGITIMACY	HOW CAPABLE IS THE LOCAL COMMUNITY CORRECTIONS ORGANIZATION OF ENSURING THAT THE CCA WORKS?	Somewhat Capable (4.0):	38%	Very Capable (5.0):	54%	Somewhat/Very Capable (4.5):	50%	Very Capable (5.0):	52%
	TO WHAT EXTENT DO INDIVIDUALS INVOLVED IN CCA AT THE LOCAL LEVEL AGREE UPON WHAT THE CCA SHOULD ACCOMPLISH?	Somewhat Agree (4.0):	52%	Somewhat Agree (4.0):	67%	Somewhat Agree (4.0):	50%	Somewhat Agree (4.0):	43%
CONTEXTUAL ENVIRONMENTAL IMPACT	IN YOUR OPINION, HOW MUCH AGREEMENT IS THERE ABOUT THE BENEFITS THAT CAN BE GAINED FROM WORKING TOGETHER ON THE CCA?	Some Agreement (4.0):	43%	Some Agreement (4.0):	46%	Some Agreement (4.0):	44%	Some Agreement (4.0):	43%
	TO WHAT EXTENT DO LOCAL INDIVIDUALS INVOLVED IN CCA AGREE ABOUT THE NEGATIVE CONSEQUENCES OF FAILING TO WORK TOGETHER?	Don't Know:	43%	Some Agreement (4.0):	50%	Undecided (3.0):	38%	Some Agreement (4.0):	33%
COLLABORATION	HOW CLEARLY DO LOCAL INDIVIDUALS INVOLVED IN CCA UNDERSTAND ALL THEIR RESPONSIBILITIES WITH RESPECT TO THE CCA?	Don't Know:	38%	Somewhat Clearly (4.0):	50%	Undecided/Somewhat Clearly (3.5):	44%	Somewhat Clearly (4.0):	33%
	HOW CLEARLY HAVE LOCAL INDIVIDUALS INVOLVED IN CCA IDENTIFIED WHAT SHOULD BE ACCOMPLISHED UNDER CCA?	Somewhat Clearly (4.0):	33%	Somewhat Clearly (4.0):	54%	Somewhat Clearly (4.0):	38%	Somewhat Clearly (4.0):	43%
COLLABORATION	TO WHAT EXTENT ARE LOCAL INDIVIDUALS INVOLVED IN CCA WILLING TO COOPERATIVELY REVIEW WHAT THEY EXPECT TO ACCOMPLISH UNDER THE CCA?	Somewhat Willing (4.0):	48%	Somewhat/Completely Willing (4.5):	71%	Somewhat Willing (4.0):	38%	Somewhat Willing (4.0):	48%
	TO WHAT EXTENT DO LOCAL INDIVIDUALS INVOLVED IN CCA AGREE THAT WORKING TOGETHER IS MORE EFFECTIVE THAN WORKING SEPARATELY?	Somewhat Agree (4.0):	38%	Completely Agree (5.0):	50%	Somewhat Agree (4.0):	25%	Somewhat/Completely Agree (4.5):	71%
COLLABORATION	TO WHAT EXTENT ARE LOCAL INDIVIDUALS INVOLVED IN CCA WILLING TO ASSUME RESPONSIBILITIES ASSOCIATED WITH THE CCA?	Somewhat Willing (4.0):	43%	Somewhat Willing (4.0):	42%	Somewhat Willing (4.0):	38%	Somewhat Willing (4.0):	57%
	TO WHAT EXTENT ARE LOCAL INDIVIDUALS INVOLVED IN CCA WILLING TO SIT DOWN AND DISCUSS HOW CCA RESPONSIBILITIES SHOULD BE SHARED?	Somewhat Willing (4.0):	62%	Completely Willing (5.0):	42%	Somewhat Willing (4.0):	44%	Somewhat Willing (4.0):	48%

TABLE 16: Organizational Structure Measured as Behavioral Constructs Pertaining to Organizational Interaction

Behavioral Construct	Variable	Washington (n <sub>WASJ</sub> =21)	
		Modal Response	Percent
COOPERATION SATISFACTION	TO WHAT EXTENT ARE YOU SATISFIED WITH THE WAY INDIVIDUALS INVOLVED WITH CCA AT THE LOCAL LEVEL HAVE COOPERATED WITH EACH OTHER?	Satisfied (4.0):	57%
	TO WHAT EXTENT IS INCREASED COOPERATION NEEDED AT THE LOCAL LEVEL?	Some Needed (2.0):	76%
ORGANIZATIONAL VIABILITY	HOW IMPORTANT IS THE LOCAL COMMUNITY CORRECTIONS ORGANIZATION TO THE SUCCESS OF THE COMMUNITY CORRECTIONS ACT?	Important/Very Important (4.5):	86%
	TO WHAT EXTENT ARE INDIVIDUALS INVOLVED IN THE CCA AT THE LOCAL LEVEL WILLING TO WORK TOGETHER TO ACHIEVE COMMON GOALS?	Somewhat Willing (4.0):	57%
ORGANIZATIONAL LEGITIMACY	HOW CAPABLE IS THE LOCAL COMMUNITY CORRECTIONS ORGANIZATION OF ENSURING THAT THE CCA WORKS?	Somewhat Capable (4.0):	52%
	TO WHAT EXTENT DO INDIVIDUALS INVOLVED IN CCA AT THE LOCAL LEVEL AGREE UPON WHAT THE CCA SHOULD ACCOMPLISH?	Somewhat Agree (4.0):	67%
CONTEXTUAL ENVIRONMENTAL IMPACT	IN YOUR OPINION, HOW MUCH AGREEMENT IS THERE ABOUT THE BENEFITS THAT CAN BE GAINED FROM WORKING TOGETHER ON THE CCA?	Some Agreement (4.0):	76%
	TO WHAT EXTENT DO LOCAL INDIVIDUALS INVOLVED IN CCA AGREE ABOUT THE NEGATIVE CONSEQUENCES OF FAILING TO WORK TOGETHER?	Some Agreement (4.0):	57%
CONTEXTUAL ENVIRONMENTAL IMPACT	HOW CLEARLY DO LOCAL INDIVIDUALS INVOLVED IN CCA UNDERSTAND ALL THEIR RESPONSIBILITIES WITH RESPECT TO THE CCA?	Somewhat Clearly (4.0):	67%
	HOW CLEARLY HAVE LOCAL INDIVIDUALS INVOLVED IN CCA IDENTIFIED WHAT SHOULD BE ACCOMPLISHED UNDER CCA?	Somewhat Clearly (4.0):	62%
COLLABORATION	TO WHAT EXTENT ARE LOCAL INDIVIDUALS INVOLVED IN CCA WILLING TO COOPERATIVELY REVIEW WHAT THEY EXPECT TO ACCOMPLISH UNDER THE CCA?	Somewhat Willing (4.0):	52%
	TO WHAT EXTENT DO LOCAL INDIVIDUALS INVOLVED IN CCA AGREE THAT WORKING TOGETHER IS MORE EFFECTIVE THAN WORKING SEPARATELY?	Somewhat Agree (4.0):	40%
COLLABORATION	TO WHAT EXTENT ARE LOCAL INDIVIDUALS INVOLVED IN CCA WILLING TO ASSUME RESPONSIBILITIES ASSOCIATED WITH THE CCA?	Somewhat Willing (4.0):	76%
	TO WHAT EXTENT ARE LOCAL INDIVIDUALS INVOLVED IN CCA WILLING TO SIT DOWN AND DISCUSS HOW CCA RESPONSIBILITIES SHOULD BE SHARED?	Somewhat Willing (4.0):	62%

TABLE 16: Organizational Structure Measured as Behavioral Constructs Pertaining to Organizational Interaction

a	Percentage of respondents selecting modal response category.
b	Rating scale ranged from 1 to 5, where "1" is "very dissatisfied," "2" is "dissatisfied," "3" is "undecided," "4" is "satisfied," "5" is "very satisfied."
c	Rating scale ranged from 1 to 5, where "1" is "greatly needed," "2" is "some needed," "3" is "not needed."
d	Rating scale ranged from 1 to 5, where "1" is "completely unimportant," "2" is "somewhat unimportant," "3" is "somewhat important," "4" is "important," "5" is "very important."
e	Rating scale ranged from 1 to 5, where "1" is "completely unwilling," "2" is "somewhat unwilling," "3" is "undecided," "4" is "somewhat willing," "5" is "completely willing."
f	Rating scale ranged from 1 to 5, where "1" is "completely incapable," "2" is "somewhat incapable," "3" is "undecided," "4" is "somewhat capable," "5" is "very capable."
g	Rating scale ranged from 1 to 5, where "1" is "completely disagree," "2" is "somewhat disagree," "3" is "undecided," "4" is "somewhat agree," "5" is "completely agree."
h	Rating scale ranged from 1 to 5, where "1" is "complete disagreement," "2" is "some disagreement," "3" is "undecided," "4" is "some agreement," "5" is "complete agreement."
i	Rating scale ranged from 1 to 5, where "1" is "complete disagreement," "2" is "some disagreement," "3" is "undecided," "4" is "some agreement," "5" is "complete agreement."
j	Rating scale ranged from 1 to 5, where "1" is "not at all," "2" is "somewhat unclearly," "3" is "undecided," "4" is "somewhat clearly," "5" is "very clearly."
k	Rating scale ranged from 1 to 5, where "1" is "unclearly," "2" is "somewhat unclearly," "3" is "undecided," "4" is "somewhat clearly," "5" is "very clearly."
l	Rating scale ranged from 1 to 5, where "1" is "completely unwilling," "2" is "somewhat unwilling," "3" is "undecided," "4" is "somewhat willing," "5" is "completely willing."
m	Rating scale ranged from 1 to 5, where "1" is "completely disagree," "2" is "somewhat disagree," "3" is "undecided," "4" is "somewhat agree," "5" is "completely agree."
n	Rating scale ranged from 1 to 5, where "1" is "completely unwilling," "2" is "somewhat unwilling," "3" is "undecided," "4" is "somewhat willing," "5" is "completely willing."
o	Rating scale ranged from 1 to 5, where "1" is "completely unwilling," "2" is "somewhat unwilling," "3" is "undecided," "4" is "somewhat willing," "5" is "completely willing."

constructs, the variables which comprise the constructs, and the modal responses to each variable. On an overall basis, individuals involved in community corrections organizations at the local level are satisfied with the level of cooperation they experience in working with each other. They do believe, however, that some increased cooperation is needed. Table 17 shows that an average cooperation satisfaction score of seventy-three percent is observed across local community corrections organizations. Utilizing the criteria previously defined, the interpretation appropriate here is that organizational structure, as measured by cooperation satisfaction, has been partially attained. Data in Table 16 show that this construct would have been achieved in greater degree had a greater level of cooperation been experienced by the individuals involved in local community corrections organizations.

## 2. Collaboration

Collaboration is an analogous behavioral construct, but this term addresses the extent to which individuals involved in local community corrections organizations are willing to work together and assume particular responsibilities because of a shared view that doing so is more effective than working alone. A related component is the extent to which individuals are willing to negotiate responsibilities, in this case, responsibilities associated with the implementation of the CCA at the local level. As Table 16 reveals, there is a high degree of consensus that working together to accomplish local CCA goals and objectives is more effective than working independently. Similarly, a high degree of consensus exists about the willingness of individuals to sit down and discuss how CCA responsibilities should be shared. Individuals involved in local CCA organizations also think that shared responsibility is accepted, but that willingness to do so is not complete. An average collaboration implementation score of eighty-five percent has been computed. Collaboration, as an index of organizational structure, has been achieved in local community corrections organizations (Table 17).

It is not known why some degree of resistance in assuming responsibilities exists, but it may have to do with unclear definition of roles and imprecise identification of responsibilities. Qualitative and quantitative data suggest that respective roles and responsibilities are unclear or unacceptable with regard to the:

- a. Roles and responsibilities of the DOC in administering the CCA.
- b. Roles and responsibilities of advisory boards in relation to county boards as the governmental bodies charged with the implementation of the CCA at the local level.
- c. Roles and responsibilities of the judiciary in comparison with the roles of advisory boards and county boards in supervising court services officers and probation and parole officers.
- d. Roles and responsibilities of individuals under the CCA.

## 3. Organizational Viability

The constructs named organizational viability and organizational legitimacy are closely allied. The former term considers: a) the perceived importance of local community corrections organizations to successful implementation of the CCA at the local level; and b) the perceived capability of the local organizations of ensuring that the CCA works.

TABLE 17: Organizational Structure Implementation Scores Based upon Behavioral Constructs Representing Organizational Interaction

CCA Area	BEHAVIORAL CONSTRUCTS REPRESENTING ORGANIZATIONAL INTERACTION					Total Organizational Structure Score <sup>a</sup>	Organizational Structure Implementation Score <sup>b,c</sup>	Rank			
	Cooperation Satisfaction (CS)	Organizational Viability (OV)	Organizational Legitimacy (OL)	Contextual Environmental Impact (CEI)	Collaboration (C)						
6W	6.0	13.5	16.0	8.5	12.0	56.0	82% (56/68)	6			
Anoka	6.0	12.5	16.0	9.0	13.5	57.0	84% (57/68)	4.5			
ARC	6.0	13.5	16.0	8.0	13.5	57.0	84% (57/68)	4.5			
Blue Earth	3.5	11.5	15.0	6.5	12.0	48.5	71% (48.5/68)	12			
Crow Wing-Morrison	6.0	12.5	14.0	8.0	12.0	52.5	77% (52.5/68)	10			
Dodge-Fillmore-C.sted	7.0	15.0	16.5	9.0	14.5	62.0	91% (62/68)	1			
Hennepin	4.5	12.5	13.0	8.0	12.0	50.0	74% (50/68)	11			
Ramsev	6.0	13.0	--	8.0	12.0	39.0	81% (39/48)	7			
Red Lake-Polk-Norman	6.5	15.0	16.0	8.5	14.0	60.0	88% (60/68)	2			
Rock-Nokles	5.5	13.0	14.5	8.0	12.0	53.0	78% (53/68)	9			
Todd-Wadena	6.0	15.0	16.0	8.0	12.5	57.5	85% (57.5/68)	3			
Washington	6.0	12.5	16.0	8.0	12.0	54.5	80% (54.5/68)	8			
AVERAGE: Average CS Implementation Score: <sup>d</sup> 73% (5.8/8)	5.8	AVERAGE: Average OV Implementation Score: <sup>d</sup> 89% (13.3/15)	13.3	AVERAGE: Average OL Implementation Score: <sup>d</sup> 77% (15.4/20)	15.4	AVERAGE: Average CEI Implementation Score: <sup>d</sup> 81% (8.1/10)	8.1	AVERAGE: Average C Implementation Score: <sup>d</sup> 85% (12.7/15)	12.7	AVERAGE: 55.3	AVERAGE: 81%

<sup>a</sup>Total organizational structure score = CS + OV + OL + CEI + C.

<sup>b</sup>Organizational structure implementation score = (CS + OV + OL + CEI + C) ÷ Maximum organizational structure score (68 points).

<sup>c</sup>Organizational structure implementation scores evaluate level of effort but do not reflect an overall assessment of quality, effectiveness, or efficiency.

<sup>d</sup>Average organizational structure implementation score = Average organizational structure score for a given behavioral construct representing organizational interaction ÷ Maximum possible score for the behavioral construct.

Overall, individuals involved in local community corrections organizations are of the opinion that their organizations are very important to the successful implementation of the Community Corrections Act (Table 16). A high percentage (seventy percent) of the individuals thought that the local CCA organizations are somewhat/very capable of carrying out the mandates of the CCA. The perceived degree of willingness of individuals involved in CCA at the local level to work together is far less. Thirty-nine percent of the individuals (CCA administrators, staff, advisory board members, CCA specialists) indicated that members of local community corrections organizations are willing — but only somewhat so — to work together to achieve common goals.

All in all, individuals involved in the organizations that have evolved locally to manage implementation of the CCA think the organizations are viable. That is to say, the local organizations are important factors in the implementation of the CCA. The local organizations have the capacity to see that the CCA works, although involved individuals are not completely willing to work together to achieve common goals. Again, the data suggest that roles and responsibilities may to some extent be unclear, poorly defined, or they may lack definition. The average organizational viability implementation score is eighty-nine percent, indicating that local CCA organizations are perceived to be fully viable as mechanisms to manage implementation of the Community Corrections Act at the local level (Table 17).

#### 4. Organizational Legitimacy

Organizational legitimacy is a behavioral construct that is closely related to organizational viability. This construct emphasizes the level of agreement about: a) what CCA should accomplish locally; b) agreement about the benefits that can be gained through the CCA; c) the level of agreement about the negative consequences that might occur if individuals fail to work together; and d) the level of understanding of individuals about their responsibilities with respect to the CCA. Organizational legitimacy emphasizes the appropriateness of the match between CCA and the organizations which have evolved at the local level to manage its implementation.

Again referring to Table 16, data indicate there is some but not complete agreement among individuals involved in local community corrections organizations about what the CCA should accomplish. Similarly, there is some but not total agreement about the benefits and the negative consequences that could be netted under CCA. The data suggest there is a higher level of consensus about what the CCA should achieve than about the benefits (e.g., keeping families together) and costs (e.g., possible increased threat to public safety) that might be observed. Similarly, there is less consensus about the role of any given individual in the successful implementation of the CCA. An average organizational legitimacy score of seventy-seven percent suggests that local CCA organizations are considered legitimate in part, but that consensus is not high about certain aspects of the organizations' relationships to the CCA, e.g., benefits and costs (Tables 16 and 17).

The interpretation assigned to the constructs of organizational viability and organizational legitimacy is that individuals involved in local community corrections organizations think that the local CCA organizations are very important to the successful implementation of the CCA, specifically, in actually carrying out its mandates. Organization members are also of the opinion, however, that there is not complete agreement about what the CCA actually should accomplish or what benefits and costs might or should be derived. There is somewhat less consensus about the clarity of individual roles and responsibilities under the CCA and about the willingness of individuals to work together. Individuals involved in local community corrections

organizations think that the organizations per se are both viable and legitimate, although individual roles and responsibilities need clarification and increased cooperation and collaboration are necessary.

#### 5. Contextual Environmental Impact

The term contextual environmental impact refers to the clarity with which CCA goals and objectives have been defined, that is, the extent to which the anticipated accomplishments of CCA have been delineated and the perceived willingness of organization members to review expectations about accomplishments. Contextual environmental impact is the degree to which expectations about what CCA should accomplish are identified and reviewed by individuals involved in local community corrections organizations.

Table 16 suggests that local expectations about CCA goals and objectives have been identified and reviewed. Projected CCA accomplishments, as goals and objectives, have not, however, been unequivocally defined nor has there been complete willingness to do so. Individuals involved in community corrections at the local level to an extent have not cooperatively identified and adopted what they as an organization should accomplish (impact) with respect to the CCA (the environment). The average contextual environmental impact score is eighty-one percent. This score indicates that goals and objectives have evolved within the context of the CCA, but they have not been unequivocally defined and the apparent willingness of individuals to do so is not complete (Table 17).

#### 6. Overall Assessment of Level of Attainment of Organizational Structure as Measured by Behavioral Constructs

As a summary mechanism, Table 17 has been constructed to provide quantitative measures of the extent to which organizational structure has been attained by local community corrections organizations. The overall organizational structure implementation score is eighty-one percent. This score indicates that local community corrections organizations have been successfully formed, at least to the extent that organizational structure is measured by indices of member interaction.

#### B. Perceived Achievements of Local Community Corrections Organizations

The data presented above indicate that individuals involved in local community corrections organizations think that the organizations are viable and that they are important vehicles for carrying out the mandates of the Community Corrections Act. Survey respondents think that the local community corrections organizations are evolving as centralized decision-making bodies to coordinate and control implementation of the CCA at the local level. Major accomplishments, as identified by individuals involved in the local CCA organizations, include: 1) coordination of components of the criminal justice system; 2) systemwide planning; 3) the integration of cross-system resources; 4) reduction in duplication of corrections programming; 5) fiscal accountability; and 6) provision of high quality services to offenders.

Individuals such as advisory board members, CCA administrators, staff, and CCA specialists have stated that they think that a substantial accomplishment has been the establishment of local coordination and control of the correctional system. The ultimate effects of local coordination and control are perceived to be the increased availability of treatment alternatives for offenders, reflected both in a higher level of rehabilitation of offenders as well as increased social justice. (The extent of the

possible disparity between the perceived and actual accomplishments in service availability, recidivism, and social justice can be determined in subsequent components of this evaluation.) These accomplishments are all seen to contrast with the status of corrections or community-based corrections prior to implementation of the CCA.

With respect to cooperation satisfaction and collaboration, survey respondents think that individuals do cooperate with each other and accept responsibilities associated with implementation of the CCA. In addition, there is a substantial degree of consensus that working together is more effective than working independently or working at odds. In contrast to a pre-CCA period of time, individuals are willing to sit down and derive shared strategies to meet common goals. The willingness to cooperate and collaborate yields an increased satisfaction with the work environment, a conviction that correctional and cross-system resources are being integrated into community-based corrections, and the perception that offenders are receiving higher quality treatment without increasing the threat to the community. The integration of public and private resources into local community corrections organizations is cited by individuals involved in local community corrections organizations as a major accomplishment resulting from the implementation of the Community Corrections Act.

In summary, individuals involved in local community corrections organizations hold the opinion that these organizations are centralized decision-making bodies which are integral to the operation of the CCA at the local level. Survey respondents believe that the organizations have achieved levels of cooperation and collaboration among individuals which are superior to those which existed prior to implementation of the Community Corrections Act. The integration of noncorrections resources into the local community corrections organizations is perceived to yield higher quality treatment for offenders, and it is thought that this will eventually yield a decrease in recidivism and an increase in social justice. There is also a body of opinion that holds that increased cooperation and collaboration are needed. A factor which may contribute to less than ideal levels of cooperation/collaboration is unclear roles and responsibilities.

#### C. Organizational Structure: Problems and Issues

Both in this section and in the sections on planning, budgeting, cooperation satisfaction, collaboration, organizational viability, organizational legitimacy, and contextual environmental impact, data indicate that a degree of uncertainty, confusion, and conflict exists with respect to particular roles and responsibilities. As discussed, there are major instances where roles and responsibilities are unclear or where they are contradictory:

##### 1. Roles and Responsibilities of the DOC in Administering the CCA

Qualitative and quantitative data pertaining to the roles and responsibilities of the DOC in local decision making and in the provision of technical assistance are contradictory. Thus, the following discussion is divided into two sections. The first addresses the opinions and beliefs of individuals involved in local community corrections organizations about DOC roles and responsibilities. The problems and issues deriving from this viewpoint and associated suggestions for resolution are delineated. Within the second section of the discussion, the role of the DOC as implied by the CCA is explored.



#### a) Promulgation of Rules/Review of Standards Compliance

The DOC has been criticized for not exerting a leadership role in coordinating the implementation of the CCA at the local level. In particular, the dissatisfaction has surfaced in reference to the perceived inadequacy of the rules promulgated, particularly the associated guidelines and criteria pertaining to the functions of planning, training, and research/information systems. In addition, DOC review of standards compliance has been cited as requiring improvement due to sometimes confusing and contradictory directives about what is expected. Both of the above have reportedly led to hit-or-miss approaches to the implementation of some local functions, particularly in the first several years after CCA entry. Hit-or-miss approaches have resulted in duplication of effort, for example, having to complete one or more versions of a comprehensive plan.

Within other situations where DOC direction is assumed or implied, the absence of guidelines and criteria or the delay in producing the same have reportedly been costly and time-consuming. As illustration, the absence of a standardized information systems design has meant that virtually all of the local community corrections organizations have had to contract for information systems design and maintenance as well as for appropriate software. While unique data elements might have been added to information systems, resulting in some modification in design anyway, the lack of a standardized information systems design has meant that similar design costs have been paid by nearly all CCA areas for systems that probably are quite similar in content or at least in purpose.

Quantitative data in Table 18 and Table 19 suggest, in contrast, that DOC performance in promulgation of rules/guidelines/criteria and review of standards compliance has been good. In addition, the level of cooperation between state and local community corrections organizations has been good. The effect of these on local CCA operation has either been viewed as somewhat facilitating (review of standards compliance) or not apparent (promulgation of rules, guidelines, criteria). The promulgation of rules by the DOC has not been particularly timely although DOC efforts in the review of standards compliance has. Finally, the level of activity exerted by DOC in carrying out the CCA mandates is considered somewhat active, although the observed level of support is not high. This latter set of quantitative data suggest that DOC performance with respect to rule promulgation and review of standards compliance has been acceptable. (Substantial proportions of the responses in Tables 18 and 19 are "don't know." These results plus the low proportions of respondents actually selecting the modal response categories mean that ratings cannot be accepted with a high degree of reliability.)

The disparity in the results reported cannot be readily resolved. A response bias might be reflected in the qualitative data suggesting DOC performance has been inferior. This response bias may be due to the fact that individuals who responded to an open-ended questionnaire were more likely to have been dissatisfied with DOC performance and, thus, relayed their opinions and beliefs. A subsequent series of telephone and one-to-one interviews with CCA administrators, staff, and advisory board members did indicate, however, that the perceptions identified about inadequate DOC performance are considered accurate. Since a level of support does exist for DOC performance, it seems that both sets of data suggest that DOC performance in promulgating rules and reviewing standards compliance has somewhat facilitated the operation of local community corrections organizations. In the main, however, the rules, standards, guidelines, and criteria established have not been adequate, and the DOC has not been particularly active in establishing the same or in reviewing compliance.

#### b) Provision of Technical Assistance

As far as technical assistance is concerned, the data are again equivocal. The technical assistance that has been provided in the areas of planning, training, and research/information systems is considered good, somewhat timely, and somewhat facilitating. (DOC technical assistance with respect to the budgeting function has not been rated. Informal data reveal that technical assistance for this function is considered to be excellent.) The criticism that is levied is that the technical assistance has not been provided on a regular basis and that the technical information provided is typically insufficient. The negative effect of insufficiently frequent technical assistance and information is perceived to be the duplication of effort associated with trial-and-error. This duplication of effort has been wasteful from the standpoint of staff time. In addition, particularly in the case of information systems, the paucity of DOC technical assistance efforts has been costly. External consultants have been expensive, and there is informal evidence that some of the information systems are not meeting the information needs of local community corrections organizations. Finally, some survey respondents hold the opinion that insufficient technical assistance has hindered organizational development by not providing the expertise and technical information necessary to enable local community corrections organizations to progress at a rapid rate.

#### c) Suggestions for Resolution

The suggestions that are made here to resolve issues pertaining to DOC performance in administering the CCA are similar in that they all involve negotiation of roles and responsibilities.

##### 1) Revision of Rules/Guidelines/Criteria and Revision of Procedures to Monitor Standards Compliance

The initial set of rules promulgated for the CCA and the procedures for reviewing implementation of the same had few parallels in legislation. To some extent, dissatisfaction with the rules, guidelines, and criteria, or the review process could have been reasonably anticipated. Both the DOC and local community corrections organizations underwent a learning process involving trial-and-error in the development of relevant documents and procedures.

After seven years, however, the CCA rules, guidelines, and criteria should be refined to the point where any assessment of their utility will yield data supportive of the DOC's effort. The same can be said about review of standards compliance. Beyond an initial development period, the review process should have been refined to the point where now the CCA administrators and staff who are largely affected think that the review process is viable.

It is suggested that CCA rules, guidelines, and criteria, as well as the processes required to monitor compliance, be changed as deemed necessary by state and local decision makers. A mechanism for identifying related problems and issues and for producing the documents and procedures needed should be enacted. Both should meet the needs of the state and local community corrections organizations. A task force on organizational structure should be convened to oversee necessary revision of rules and procedures and to achieve resolution of major issues pertaining to organizational structure.

##### 2) Expansion of Technical Assistance Activities

As far as technical assistance is concerned, the CCA directs that technical assistance be provided to local community corrections organizations in the preparation of

TABLE 18: Ratings of the Performance of the DOC in Carrying Out Mandates of the Community Corrections Act:  
Promulgation of Rules for Implementation of the CCA

Variable	C C A AREA									
	All (n <sub>All</sub> =294)		6W (n <sub>6W</sub> =23)		Anoka (n <sub>ANK</sub> =23)		ARC (n <sub>ARC</sub> =30)			
	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent		
Overall Performance of the DOC <sup>b</sup>	Good (4.0):	30%	Fair/Good (3.5):	74%	Fair/Good (3.5):	65%	Fair (3.0):	31%	Don't Know:	25%
Effect on Local CCA Operations <sup>c</sup>	Somewhat Facilitated/Undecided (3.5):	45%	Somewhat Hindered (2.0):	44%	Somewhat Facilitated (4.0):	35%	Undecided (3.0):	22%	Don't Know:	31%
Level of Cooperation Between the DOC and the Local Community Corrections Organization <sup>d</sup>	Good (4.0):	28%	Fair/Good (3.5):	65%	Good (4.0):	39%	Good (4.0):	29%	Don't Know:	31%
Level of Activity of the DOC <sup>e</sup>	Somewhat Active (4.0):	26%	Somewhat Active (4.0):	35%	Somewhat Active (4.0):	39%	Somewhat Active (4.0):	25%	Don't Know:	31%
Timeliness of DOC Efforts <sup>f</sup>	Slightly Delayed/Timely (3.5):	36%	Timely (4.0):	22%	Slightly Delayed (3.0):	26%	Timely (4.0):	22%	Don't Know:	39%

<sup>a</sup>Percentage of respondents selecting modal response category.

<sup>b</sup>Rating scale ranged from 1 to 5, where "1" is "bad," "2" is "poor," "3" is "fair," "4" is "good," "5" is "excellent."

<sup>c</sup>Rating scale ranged from 1 to 5, where "1" is "greatly hindered," "2" is "somewhat hindered," "3" is "undecided," "4" is "somewhat facilitated," "5" is "greatly facilitated."

<sup>d</sup>Rating scale ranged from 1 to 5, where "1" is "bad," "2" is "poor," "3" is "fair," "4" is "good," "5" is "excellent."

<sup>e</sup>Rating scale ranged from 1 to 5, where "1" is "very passive," "2" is "somewhat passive," "3" is "undecided," "4" is "somewhat active," "5" is "very active."

<sup>f</sup>Rating scale ranged from 1 to 5, where "1" is "nonexistent," "2" is "late," "3" is "slightly delayed," "4" is "timely," "5" is "too early."

TABLE 18: Ratings of the Performance of the DOC in Carrying Out Mandates of the Community Corrections Act;  
Promulgation of Rules for Implementation of the CCA

Variable	C C A AREA							
	Blue Earth <sup>a</sup>		Crow Wing-Morrison <sup>b</sup>		Dodge-Fillmore-Olmsted <sup>c</sup>		Hennepin <sup>d</sup>	
	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent
Overall Performance of the DOC <sup>e</sup>	Fair/Good (3.5):	42%	Good (4.0):	40%	Good (4.0):	41%	Fair (3.0):	23%
	Don't Know:	33%			Don't Know:	32%	Don't Know:	39%
Effect on Local CCA Operations <sup>f</sup>	Somewhat Hindered (2.0):	25%	Somewhat Facilitated (4.0):	32%	Somewhat Facilitated (4.0):	32%	Somewhat Facilitated (4.0):	23%
	Don't Know:	29%			Don't Know:	27%	Don't Know:	31%
Level of Cooperation Between the DOC and the Local Community Corrections Organization <sup>g</sup>	Fair/Good (3.5):	38%	Good (4.0):	44%	Good (4.0):	41%	Fair (3.0):	31%
	Don't Know:	38%			Don't Know:	35%	Don't Know:	35%
Level of Activity of the DOC <sup>h</sup>	Somewhat Passive (2.0):	17%	Somewhat Active (4.0):	48%	Somewhat Active (4.0):	32%	Somewhat Active (4.0):	23%
	Don't Know:	38%	Don't Know:	32%	Don't Know:	41%	Don't Know:	39%
Timeliness of DOC Efforts <sup>i</sup>	Slightly Delayed/Timely (3.5):	34%	Slightly Delayed (3.0):	32%	Slightly Delayed/Timely (3.5):	47%	Late (2.0):	19%
	Don't Know:	46%	Don't Know:	40%	Don't Know:	47%	Don't Know:	54%

TABLE 18: Ratings of the Performance of the DOC in Carrying Out Mandates of the Community Corrections Act:  
Promulgation of Rules for Implementation of the CCA

Variable	C C A AREA							
	Ramsey (n <sub>RAM</sub> =21)		Red Lake-Polk- Norman (n <sub>RPN</sub> =24)		Rock- Nobles (n <sub>RN</sub> =16)		Todd- Wadena (n <sub>TW</sub> =21)	
	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent
Overall Performance of the DOC <sup>b</sup>	Fair (3.0):	24%	Good (4.0):	42%	Fair/Good (3.5):	50%	Good (4.0):	29%
	Don't Know:	33%	Don't Know:	25%	Don't Know:	31%		
Effect on Local CCA Operations <sup>c</sup>	Undecided (3.0):	38%	Undecided (3.0):	25%	Undecided (3.0):	25%	Undecided (3.0):	29%
	Don't Know:	43%	Don't Know:	25%	Don't Know:	31%		
Level of Cooperation Between the DOC and the Local Community Corrections Organization <sup>d</sup>	Fair (3.0):	29%	Good (4.0):	29%	Fair (3.0):	25%	Good (4.0):	29%
	Don't Know:	43%			Don't Know:	44%		
Level of Activity of the DOC <sup>e</sup>	Somewhat Active (4.0):	19%	Somewhat Active (4.0):	38%	Somewhat Passive (2.0):	19%	Undecided (3.0):	24%
	Don't Know:	48%	Don't Know:	29%	Don't Know:	44%	Don't Know:	43%
Timeliness of DOC Efforts <sup>f</sup>	Late (2.0):	14%	Timely (4.0):	29%	Slightly Delayed (3.0):	25%	Slightly Delayed (3.0):	19%
	Don't Know:	68%	Don't Know:	33%	Don't Know:	50%	Don't Know:	48%

TABLE 18: Ratings of the Performance of the DOC in Carrying Out Mandates of the Community Corrections Act:  
Promulgation of Rules for Implementation of the CCA

Variable	C C A AREA	
	Washington Modal Response:	(n <sub>WASH</sub> =21) Percent
Overall Performance of the DOC <sup>b</sup>	Good (4.0):	43%
Effect on Local CCA Operations <sup>c</sup>	Undecided (3.0): Don't Know:	29% 29%
Level of Cooperation Between the DOC and the Local Community Corrections Organization <sup>d</sup>	Good (4.0): Don't Know:	29% 33%
Level of Activity of the DOC <sup>e</sup>	Very Active (5.0): Don't Know:	19% 48%
Timeliness of DOC Efforts <sup>f</sup>	Timely (4.0): Don't Know:	29% 48%

TABLE 19: Ratings of the Performance of the DOC In Carrying Out Mandates of the Community Corrections Act: Review Standards Compliance

Variable	C C A AREA							
	All (n <sub>All</sub> =294)		6W (n <sub>6W</sub> =23)		Anoka (n <sub>ANK</sub> =23)		ARC (n <sub>ARC</sub> =36)	
	Modal Response:	Percent <sup>a</sup>	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent
Overall Performance of the DOC <sup>b</sup>	Good (4.0):	29%	Good (4.0):	48%	Fair (3.0):	30%	Fair (3.0):	25%
	Don't Know:	35%	Don't Know:	26%	Don't Know:	26%	Don't Know:	36%
Effect on Local CCA Operations <sup>c</sup>	Somewhat Facilitated (4.0):	23%	Somewhat Hindered (4.0):	26%	Undecided (3.0):	30%	Somewhat Facilitated (4.0):	25%
	Don't Know:	37%	Don't Know:	30%			Don't Know:	39%
Level of Cooperation Between the DOC and the Local Community Corrections Organization <sup>d</sup>	Good (4.0):	26%	Fair (3.0):	39%	Fair/Good (3.5)	70%	Good (4.0):	31%
	Don't Know:	37%	Don't Know:	30%			Don't Know:	33%
Level of Activity of the DOC <sup>e</sup>	Somewhat Active (4.0):	29%	Somewhat Active (4.0):	44%	Somewhat Active (4.0):	52%	Somewhat Active (4.0):	22%
	Don't Know:	40%	Don't Know:	35%	Don't Know:	26%	Don't Know:	39%
Timeliness of DOC Efforts <sup>f</sup>	Timely (4.0):	22%	Slightly Delayed (3.0):	30%	Timely (4.0):	35%	Timely (4.0):	22%
	Don't Know:	50%	Don't Know:	44%	Don't Know:	35%	Don't Know:	44%

<sup>a</sup>Percentage of respondents selecting modal response category.  
<sup>b</sup>Rating scale ranged from 1 to 5, where "1" is "bad," "2" is "poor," "3" is "fair," "4" is "good," "5" is "excellent."  
<sup>c</sup>Rating scale ranged from 1 to 5, where "1" is "greatly hindered," "2" is "somewhat hindered," "3" is "undecided," "4" is "somewhat facilitated," "5" is "greatly facilitated."  
<sup>d</sup>Rating scale ranged from 1 to 5, where "1" is "bad," "2" is "poor," "3" is "fair," "4" is "good," "5" is "excellent."  
<sup>e</sup>Rating scale ranged from 1 to 5, where "1" is "very passive," "2" is "somewhat passive," "3" is "undecided," "4" is "somewhat active," "5" is "very active."  
<sup>f</sup>Rating scale ranged from 1 to 5, where "1" is "nonexistent," "2" is "late," "3" is "slightly delayed," "4" is "timely," "5" is "too early."



TABLE 19: Ratings of the Performance of the DOC in Carrying Out Mandates of the Community Corrections Act: Review  
Standards Compliance

Variable	C C A AREA							
	Blue Earth (n <sub>BE</sub> =24)		Crow Wing-Morrison (n <sub>CWM</sub> =25)		Dodge-Fillmore-Olmsted (n <sub>DFO</sub> =34)		Hennepin (n <sub>HENN</sub> =26)	
	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent
Overall Performance of the DOC <sup>b</sup>	Fair (3.0):	25%	Good (4.0):	36%	Good (4.0):	41%	Good (4.0):	23%
	Don't Know:	46%			Don't Know:	35%	Don't Know:	46%
Effect on Local CCA Operations <sup>c</sup>	Undecided (3.0):	21%	Somewhat Hindered (2.0):	28%	Somewhat Facilitated (4.0):	41%	Somewhat Hindered/Undecided (2.5):	31%
	Don't Know:	42%			Don't Know:	35%	Don't Know:	54%
Level of Cooperation Between the DOC and the Local Community Corrections Organization <sup>d</sup>	Poor (2.0):	17%	Good (4.0):	36%	Good (4.0):	35%	Fair/Good (3.5):	38%
	Don't Know:	54%	Don't Know:	28%	Don't Know:	41%	Don't Know:	46%
Level of Activity of the DOC <sup>e</sup>	Somewhat Passive/Somewhat Active/Very Active (3.6):	38%	Somewhat Active (4.0):	36%	Somewhat Active (4.0):	41%	Somewhat Active/Very Active (4.5):	31%
	Don't Know:	50%	Don't Know:	40%	Don't Know:	44%	Don't Know:	42%
Timeliness of DOC Efforts <sup>f</sup>	Timely (4.0):	13%	Slightly Delayed (3.0):	24%	Timely (4.0):	24%	Slightly Delayed (3.0):	23%
	Don't Know:	63%	Don't Know:	44%	Don't Know:	62%	Don't Know:	65%

TABLE 19: Ratings of the Performance of the DOC in Carrying Out Mandates of the Community Corrections Act: Review Standards Compliance

Variable	C C A AREA							
	Ramsey (n <sub>RAM</sub> =21)		Red Lake-Polk-Norman (n <sub>RPN</sub> =24)		Rock-Nobles (n <sub>RN</sub> =16)		Todd-Wadena (n <sub>TW</sub> =21)	
	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent	Modal Response:	Percent
Overall Performance of the DOC <sup>a</sup>	Poor/Good (3.0):	28%	Good (4.0):	42%	Fair (3.0):	38%	Good (4.0):	33%
	Don't Know:	57%	Don't Know:	25%	Don't Know:	38%	Don't Know:	48%
Effect on Local CCA Operations <sup>c</sup>	Somewhat Facilitated (4.0):	14%	Somewhat Facilitated (4.0):	33%	Undecided/Somewhat Facilitated (3.5):	38%	Somewhat Facilitated (4.0):	19%
	Don't Know:	52%	Don't Know:	25%	Don't Know:	38%	Don't Know:	48%
Level of Cooperation Between the DOC and the Local Community Corrections Organization <sup>d</sup>	Fair (3.0):	24%	Good (4.0):	29%	Fair (3.0):	25%	Good (4.0):	24%
	Don't Know:	62%			Don't Know:	44%	Don't Know:	43%
Level of Activity of the DOC <sup>e</sup>	Somewhat Passive (2.0):	19%	Somewhat Active (4.0):	33%	Somewhat Passive/Undecided / Somewhat Active (3.0):	39%	Somewhat Active (4.0):	29%
	Don't Know:	62%	Don't Know:	29%	Don't Know:	44%	Don't Know:	38%
Timeliness of DOC Efforts <sup>f</sup>	Slightly Delayed (3.0):	14%	Timely (4.0):	42%	Timely (4.0):	19%	Timely (4.0):	24%
	Don't Know:	62%	Don't Know:	33%	Don't Know:	50%	Don't Know:	52%

TABLE 19: Ratings of the Performance of the DOC in Carrying Out Mandates of the Community Corrections Act: Review Standards Compliance

Variable	C C A AREA	
	Washington	(n <sub>WASH</sub> =21)
	Modal Response:	Percent
Overall Performance of the DOC <sup>b</sup>	Good (4.0):	38%
Effect on Local CCA Operations <sup>c</sup>	Somewhat Facilitated (4.0):	38%
	Don't Know:	33%
Level of Cooperation Between the DOC and the Local Community Corrections Organization <sup>d</sup>	Good (4.0):	43%
	Don't Know:	29%
Level of Activity of the DOC <sup>e</sup>	Somewhat Active (4.0):	43%
	Don't Know:	29%
Timeliness of DOC Efforts <sup>f</sup>	Timely (4.0):	48%
	Don't Know:	48%

comprehensive plans. That is apparently the only organizational function for which technical assistance is actually mandated. The mandate with respect to research/information systems is to "review and approve" the designs and processes. No mandate exists for the provision of technical assistance in research/information systems, just as no mandate exists for the provision of technical assistance in training or budgeting.

The relationship between the DOC and local community corrections organizations involving the provision of technical assistance in budgeting, training, and research/information systems has developed for a number of reasons. The most important of these is the historical role of the DOC as the primary coordination-control mechanism for corrections in the state of Minnesota. Another reason is the formulation of the CCA as a prototypical component of public corrections policy administered by the DOC.

For these and many other reasons, the roles and relationships between the DOC and local community corrections organizations were not newly-formed at the time the CCA was actually implemented. It appears as if implicit expectations that the DOC would continue in the role of a primary coordination-control mechanism for community-based corrections were present. This occurred irrespective of the fact that an intent of the CCA is to establish a degree of local coordination and control of corrections. Hence, dissatisfaction with some aspects of DOC performance may actually arise from the assumption that either the CCA directs the DOC to assume certain responsibilities such as technical assistance or that the DOC in conjunction with its historical role in public corrections policy should be duly responsible.

In any case, the roles and responsibilities of the DOC and local community corrections organizations in carrying out community-based corrections policy are intertwined by statute and by convention. The qualitative data and the quantitative data collected in this study suggest that the technical assistance relationship between the DOC and local community corrections organizations requires modification to maximally facilitate implementation of the CCA as it currently exists. The structure of the relationship between the DOC and local community corrections organizations should be modified to meet technical assistance needs. Suggestions for the expansion of technical assistance include: a) negotiated technical assistance schedules; b) formation of a team of technical assistants; c) reviewing DOC staff structure; and d) negotiation of funding mechanisms.

#### i) Negotiated Technical Assistance Schedules

As far as the actual provision of technical assistance is concerned, two suggestions are made. First, regularly scheduled technical assistance sessions should be negotiated between the DOC and the local CCA organizations. Content of the sessions should be discussed in advance to facilitate problem-solving. Second, a procedure for the request and provision of technical assistance should be established and put into place.

#### ii) Formation of a Team of Technical Assistants

A team of technical assistants should be congregated. The technical assistants should rotate among CCA counties on a regularly scheduled basis. The advantage of this situation would be the availability of technical resources that would be familiar with all of the local community corrections organizations. The familiarity should encourage information sharing and parallel development of functions across local CCA organizations. Economies of scale should be observed, for example in the case of research/in-

formation systems, monies paid to external consultants should be substantially reduced.

#### iii) Reviewing DOC Staff Structure

In relation to current DOC organization, a study to ascertain the advisability of maintaining the current structure that interfaces with local CCA organizations is suggested. The feasibility of maintaining a team of technical assistants assigned to local community corrections organizations should be explored. This would be in contrast to current DOC structure which basically consists of CCA specialists assigned to individual CCA organizations.

#### iv) Negotiation of Technical Assistance Funding Mechanisms

If the DOC accepts the suggestion to restructure DOC staff assigned to local community corrections organizations, then the DOC should fund the team of technical assistants. In any case, the DOC should fund the technical assistants who provide service in functions which the DOC is mandated to oversee (e.g., planning) or in functions for which the DOC has a related mandate to assist or carry out (e.g., to collect and maintain data on offenders).

### 2. Roles and Responsibilities of Advisory Boards in Relation to County Boards

There are two problem areas in which there is a disparity in the perceptions of CCA roles and responsibilities between advisory boards and county boards. The first area has been discussed in the sections of the evaluation which deal with the organizational functions of planning, training, and budgeting. There seems to be disagreement within some local community corrections organizations about the roles and responsibilities of county boards in review and approval of comprehensive plans, budgets, and expenditures. The second problem area is related to administrative authority over CCA staff, particularly of probation and parole officers. A number of advisory board members are convinced that it is the advisory boards which have sign-off authority on all aspects of operation of the local community corrections organizations, including staff. When advisory board decisions or policy are overturned or disregarded by county boards, responses of advisory board members can (according to survey respondents) range from anger to withdrawal from participation in decision-making processes. The effects are seen to range from inhibition in the implementation of policy decisions to disrupted cross-system communication and resource coordination.

#### a. Suggestions for Resolution

The suggestions that are feasible here largely center around the provision of information to advisory board members not only about their roles and responsibilities under CCA, but also about the authority of county boards in the administration of the Community Corrections Act. The CCA administrator should maintain responsibility for clarification of advisory board and county board roles and responsibilities in implementing CCA at the local level. An educational medium that could be developed to facilitate the process is a training film or slideshow that could be shown both to advisory boards and county boards. The training film could explore the roles and responsibilities of each under the CCA, as an example.

Another method of minimizing problems and issues deriving from questions about ultimate administrative authority is currently in place. That is, county board members are included on the advisory boards of local community corrections organizations. The

county board members are, thus, involved in the decision making processes of the local CCA organizations on an ongoing basis. This could avert possible conflict between county boards and local community corrections organizations.

### 3. Roles and Responsibilities of the Judiciary in Supervision of Court Services Personnel and Probation and Parole Officers

The disagreement that has existed in some CCA areas about the control of court services officers and probation and parole officers has occurred because of a historic role of the judiciary. In the past, it was the court that identified the need to supervise offenders and provide them with correctional services. Thus, it was the court that was basically responsible for the existence of court services officers as well as probation and parole officers. The court identified unmet needs for services and filled them.

Although the executive branch of government has developed over time, the transfer of responsibilities between the executive branch and the judicial branch in providing correctional services has not been complete. Coincidentally, constitutional issues pertaining to separation of powers and due process have surfaced. Some have yet to be resolved. For example, the provision of some court services such as presentence investigations and surveillance are judicial functions. Consequently, court services personnel who carry out these functions are considered to be under court supervision by many judges. Any attempts by the executive branch to exercise authority over court services personnel is viewed as constraint upon the judicial branch. On the other hand, attempts by the judiciary to control the probation and parole officers who maintain responsibility for the provision of correctional services (e.g., counseling, brokerage, advocacy) are viewed as infringements on executive branch powers. In either instance, the issue of administrative authority between the judiciary and the executive branch has often not been resolved.

#### a. Suggestions for Resolution

Because of the recent passage of legislation that places administrative authority for court services officers and probation/parole officers under the (optional) control of the executive branch (county boards), the issue may be moot. To the extent that legislation does not resolve it, then negotiation of roles and responsibilities seems to be the optimal solution. A formal mechanism for carrying out such negotiation processes should be explored by the task force on organizational structure that has been previously suggested.

### 4. Roles and Responsibilities of Individuals Under the CCA

For virtually all of the behavioral constructs pertaining to organizational structure which have been explored, common themes have been uncertainty about the exact roles and responsibilities to be assumed and incomplete cooperation and collaboration among individuals.

Beyond the problems and issues that exist as natural byproducts of opposing viewpoints and differing personal goals, the perception seems to hold that unclear roles and responsibilities exist and that these hinder personal contribution to the CCA. Incomplete personal contribution hinders the attainment of organizational structure, which hypothetically hinders full implementation of the Community Corrections Act. At fault are issues such as the intended accomplishments of the CCA. The line of argument is that roles and responsibilities cannot be unequivocally established until the goals and objectives of the CCA at the local level are unequivocally formulated.

Unless local CCA goals and objectives are established and prioritized, activities designed to attain them cannot be clearly established. Thus, the assignment of roles and responsibilities to undertake the activities cannot be completed. Besides the absence of local CCA goals and objectives, survey respondents also transmit the opinion that the discrepancy between professed and actual local CCA goals and objectives also makes roles and responsibilities ambiguous.

#### a. Suggestions for Resolution

The suggestions for resolution of the issue of unclear individual roles and responsibilities under the CCA have, to a large extent, been discussed. The strategies which appear to be applicable for establishing or modifying individual roles and responsibilities include responsibility charting, negotiation, and the application of sound management models. To be specific, a management model that stresses the input and feedback of objective information should be employed in a process of goal and objective setting and prioritization. After this has been accomplished, then a mechanism such as responsibility charting should be used to relate goals and objectives to the activities undertaken to accomplish them. Following this, if it proves necessary, individuals should engage in formal negotiation processes to acquire responsibility or authority to carry out relevant CCA activities. To the extent that this line of action is successful across local community corrections organizations, stable roles and responsibilities should evolve which have the potential for ensuring that CCA goals and objectives are attained.

#### D. Organizational Structure: Summary and Conclusions

Five behavioral constructs representing aspects of group interaction have been employed to assess organizational structure. The behavioral constructs and the indices of the extent to which the constructs have comprised organizational structure (average implementation scores) are: 1) cooperation satisfaction, seventy-three percent; 2) organizational viability, eighty-nine percent; 3) organizational legitimacy, seventy-seven percent; 4) contextual environmental impact, eighty-one percent; and e) collaboration, eighty-five percent. With the exception of cooperation satisfaction which was only partially implemented, the remainder of the indices show that organizational structure has been fully implemented. Local community corrections organizations have achieved types of behavioral interaction that have been defined as representing organizational structure. A composite index of organizational structure of eighty-one percent has been calculated that reinforces the conclusion that local CCA organizations are structured.

In total, individuals involved in local community corrections organizations hold the opinion that these organizations are centralized decision-making bodies which are integral to the operation of the CCA at the local level. The organizations have achieved levels of cooperation and collaboration among individuals which are superior to those which existed prior to implementation of the Community Corrections Act. There is, however, a body of opinion that holds that increased cooperation and collaboration are needed. A factor which may contribute to less than ideal levels of cooperation/collaboration is unclear roles and responsibilities, which is the central theme of the problems and issues identified.

#### a. Problems and Issues Associated with the Roles and Responsibilities of the DOC

The data pertaining to the roles and responsibilities of the DOC in rule promulgation, review of standards compliance, and the provision of technical assistance are

equivocal. What is provided is considered good and timely and cooperation between state and local levels is considered good by individuals involved in local CCA organizations. As a group, however, CCA administrators and staff relay the opinion that the DOC has not generated sufficient rules, guidelines, or criteria to facilitate local implementation of the CCA. In a related vein, the process of DOC review of local compliance with standards is not viewed as consistent. The role of the DOC in managing the implementation of the CCA is seen to require clarification and redefinition.

In addition to responsibilities related to rule promulgation and review, the responsibility of the DOC to provide technical assistance to local community corrections organizations is unclear. Because of the historic role of the DOC as the primary coordination-control mechanism for corrections in Minnesota and because of its statutory authority in administering the CCA, the inference has apparently been drawn that the DOC should provide technical assistance with respect to all aspects of organizational function identified in the CCA (planning, training, research/information systems, budgeting). As the governmental unit maintaining authority to administer public corrections policy, the DOC role in providing CCA-related technical assistance is one that requires clarification, despite the fact that the CCA mandates the provision of technical assistance only in the preparation of comprehensive plans.

#### b. Problems and Issues Associated with the Roles and Responsibilities of the Judiciary, County Boards, and Advisory Boards

Additional issues have arisen regarding roles and responsibilities. Some of these are confusion about the authority of county boards (versus advisory boards) to review and approve comprehensive plans, local CCA budgets, and expenditures. Another is confusion about where the authority for supervision of court services officers and probation/parole officers lies (county boards versus the judiciary). A third issue is the role and responsibilities of advisory boards in undertaking cross-system planning and producing the annual comprehensive plan. Lack of input or insufficient input by advisory board members into the planning process may mean that the cross-system integration of resources mandated by the CCA does not take place. Without this or an equivalent mechanism to achieve cross-systems planning, a broad spectrum of public and private community resources may not be available to the target groups of offenders under the CCA.

#### c. Problems and Issues Associated with the Roles and Responsibilities of Individuals

As a final issue pertaining to organizational structure, there is evidence that individuals are to some extent unclear about personal roles and responsibilities in implementation of the CCA at the local level. Confusion and uncertainty contribute to the perception that increased cooperation and collaboration are necessary at the local level. This is seen to inhibit full implementation of a stable organizational structure and to organizational development.

#### d. Suggestions for Resolution

The range of suggestions for resolution of issues pertaining to organizational structure revolves around redefinition of DOC roles and responsibilities, revision of relevant CCA and DOC products and processes, clarification or redefinition of roles and responsibilities, and redefinition of local CCA goals and objectives. Specifically, among the suggestions for issue resolution are: 1) revision of CCA rules, guidelines, and criteria; 2) revision of procedures to monitor standards compliance; 3) expansion

of DOC technical assistance activities; 4) negotiation of technical assistance schedules; 5) formation of a technical assistance team; 6) review of DOC staff structure; 7) negotiation of technical assistance funding mechanisms; 8) development of a training film or slideshow used to transmit factual information about the authority and responsibilities of county boards and advisory boards in administering the CCA; and 9) negotiation of individual roles and responsibilities based upon revised local CCA goals and objectives.

#### VIII. CONCLUSIONS

A comprehensive description and an analysis of organizational structure and function have been completed in order to answer two questions: "Have corrections planning and administration improved under the CCA?" and "Is the planning and administration component of the CCA model valid?"

To answer these questions, average implementation scores have been computed for each aspect of organizational structure and function included in the CCA evaluation. Tables 20 and 21 report average implementation scores and an appraisal of degree of implementation of structure and function within and across local community corrections organizations. Table 22 goes a step further and assigns ranks to the local community corrections organizations based upon the degree of implementation observed for each aspect of organizational structure and function employed.

On an overall basis, it can be said that organizational structure and associated functions have been partially implemented within local community corrections organizations. (The grand mean implementation score for all indices employed is seventy-five percent, the upper limit of the defined range for partial implementation.) To be precise, based on the measures used to define aspects of organizational structure and function, the conclusion is drawn that organizations have evolved at the local level to manage implementation of the Community Corrections Act (structure has been achieved), but all functions of those organizations have not been put into place.

Organizational structure plus the budgeting and training functions have been fully institutionalized within local CCA organizations. The judgment that budgeting and training have been instituted is based upon the appraisal that the actors, products, and processes necessary to carry out the two functions have been put into place. Data about the quality, effectiveness, and efficiency of budgeting and training are not extensive, however. Thus, the actual utility of these functions (particularly of training) to organizational development cannot be reliably assessed. Planning and research/information systems have been partially institutionalized as functions of local community corrections organizations. Again, data on the quality, effectiveness, and efficiency of planning and research/information systems are limited, thus constraining statements of the utility of these two functions to organizational performance.

Results indicate that corrections organization (planning and administration) has improved under the CCA. The associated component of the CCA model has been shown to be valid, but the quality, effectiveness, and efficiency of the aspects of organizational structure and function employed have not been explored.

A final word must address the problems and issues identified as well as the suggestions for resolution presented. The suggestions for resolution presented are based upon an assumption that the CCA will continue to operate as it is currently structured and funded. Decision makers should appraise the problems and issues and suggestions for resolution in conjunction with data on overall effectiveness, economy, and efficiency.



Modification of current organizational functions and structure within the CCA objective of improved corrections planning and administration should be based upon simultaneous considerations of the conditions and constraints suggested by this evaluation as a whole.

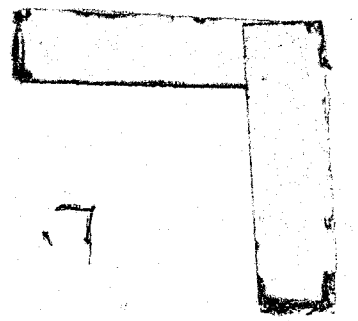


TABLE 20: Community Corrections Act Evaluation: Summary of Implementation Scores for Indices of Organizational Function and Structure

<u>Organizational Function (F) or Index of Organizational Structure (S)</u>	<u>Average Implementation Score</u>	<u>Degree of Implementation of Function or Index of Structure<sup>a</sup></u>
Planning (F)	64%	Partial Implementation
Training (F)	77%	Full Implementation
Research/Information Systems (F)	65%	Partial Implementation
Budgeting (F)	88%	Full Implementation
Composite Index of Organizational Structure (S):	81%	Full Implementation
1. Cooperation Satisfaction		
2. Organizational Viability		
3. Organizational Legitimacy		
4. Contextual Environmental Impact		
5. Collaboration		
GRAND MEAN:	75%	PARTIAL IMPLEMENTATION

<sup>a</sup> The following criteria are employed in the evaluation of degree of implementation of organizational function or organizational structure:

1. No implementation: Average implementation score < 50%
2. Partial implementation: Average implementation score of 50% - 75%
3. Full implementation: Average implementation score ≥ 76%

TABLE 21: Community Corrections Act Evaluation: Degree of Implementation of Organizational Function and Structure by Local Community Corrections Organization

CCA AREA	ORGANIZATIONAL FUNCTION									
	PLANNING		TRAINING		RESEARCH/INFORMATION SYSTEMS		BUDGETING		ORGANIZATIONAL STRUCTURE	
	Implementation Score	Degree of Implementation	Implementation Score	Degree of Implementation	Implementation Score	Degree of Implementation	Implementation Score	Degree of Implementation	Implementation Score	Degree of Implementation
Region 6 West	43%	No Implementation	75%	Partial Implementation	40%	No Implementation	80%	Full Implementation	82%	Full Implementation
Anoka	71%	Partial Implementation	92%	Full Implementation	60%	Partial Implementation	100%	Full Implementation	99%	Full Implementation
Arrowhead Regional Corrections	71%	Partial Implementation	92%	Full Implementation	90%	Full Implementation	100%	Full Implementation	99%	Full Implementation
Blue Earth	71%	Partial Implementation	83%	Full Implementation	70%	Partial Implementation	100%	Full Implementation	71%	Partial Implementation
Crow Wing-Morrison	57%	Partial Implementation	33%	No Implementation	60%	Partial Implementation	80%	Full Implementation	71%	Partial Implementation
Dodge-Fillmore-Dinwiddie	86%	Full Implementation	75%	Partial Implementation	80%	Full Implementation	80%	Full Implementation	91%	Full Implementation
Hennepin	57%	Partial Implementation	92%	Full Implementation	90%	Full Implementation	100%	Full Implementation	74%	Partial Implementation
Pansey	57%	Partial Implementation	92%	Full Implementation	--	---	100%	Full Implementation	81%	Full Implementation
Red Lake-Polk-Norman	100%	Full Implementation	67%	Partial Implementation	80%	Full Implementation	100%	Full Implementation	88%	Full Implementation
Rock-Nobles	43%	No Implementation	92%	Full Implementation	40%	No Implementation	80%	Full Implementation	78%	Full Implementation
Todd-Wadena	71%	Partial Implementation	75%	Partial Implementation	50%	Partial Implementation	80%	Full Implementation	85%	Full Implementation
Washington	43%	No Implementation	58%	Partial Implementation	60%	Partial Implementation	60%	Partial Implementation	80%	Full Implementation

TABLE 22: Ranks Assigned to Degree of Organizational Structure and Function Attained by Local Community Corrections Organization

CCA AREA	Ranks <sup>a</sup>					Sum of Ranks	Overall Rank <sup>a</sup>
	Planning	Training	Research/ Information Systems	Budgeting	Organizational Structure		
6W	11	8	10.0	9	6	44.0	9
Anoka	4.5	3	6.5	3.5	4.5	22.0	3.5
Arrowhead Regional Corrections	4.5	3	2	3.5	4.5	17.5	1
Blue Earth	4.5	6	5	3.5	12	31.0	6
Crow Wing-Morrison	8	12	8	9	10	47.0	10
Dodge-Fillmore-Olmsted	2	8	2	9	1	22.0	3.5
Hennepin	8	3	2	3.5	11	27.5	5
Ramsey	8	3	--	3.5	7	--	--
Red Lake-Polk-Norman	1	10	4	3.5	2	20.5	2
Rock-Nobles	11	3	10	9	9	42.0	8
Todd-Wadena	4.5	8	10	9	3	34.5	7
Washington	11	11	6.5	12	8	48.5	11

<sup>a</sup>Ranks ranged from 1 to 12 with lower numbered ranks indicating higher degrees of implementation. For example, a rank of "1" indicates that the average implementation score is the highest observed for the index of organizational structure or function considered.

## FOOTNOTES

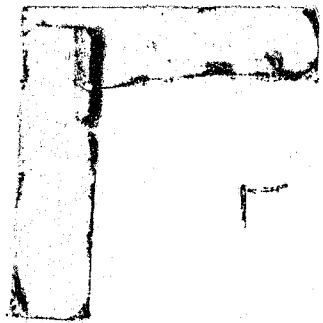
1. Richard H. Hall, Organizations: Structure and Process, Second edition, Prentice-Hall, Inc. (Englewood Cliffs, N. J.: 1977); James Thompson, Organizations in Action, McGraw-Hill (New York: 1967); Shirley Terreberry, "The Evolution of Organizational Environments," Administrative Science Quarterly 12 (March, 1969).

2. Joseph McCann, "Developing Interorganizational Domains: Concepts and Practice," Unpublished doctoral dissertation, University of Pennsylvania (Philadelphia: August, 1980).

Coordination satisfaction refers to the extent of satisfaction with collaborative efforts undertaken by individuals involved in CCA at the local level.

Organizational legitimacy refers to the degree of consensus about organizational responsibilities, clarity of incentives, importance of the situation, and agreement about what constitutes an ideal situation for an organization. Organizational viability refers to the degree of consensus that an organization is able to accomplish what is sets out to accomplish, that individuals involved in the organization are willing to create shared strategies, and agreement that a given course of action is appropriate.

3. Edward A. Suchman, Evaluative Research, Principles and Practices in Public Service and Social Action Programs, Russell Sage Foundation (New York: 1967), pp. 61-63.



**END**