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Issues and Practices

Probation Under Fiscal Constraints

- **Have probation agencies developed strategies for more cost-conscious management?**
- **Are case studies available which describe probation agencies that are coping well with resource constraints?**
- **What are the important questions and issues for probation agencies to explore when designing and implementing new approaches?**
- **How can you diagnose the organizational health of your probation agency?**

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James K. Stewart
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U.S. Department of Justice
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Probation under Fiscal Constraints

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Preface

Fiscal problems of unanticipated proportions have burdened many probation departments in recent years. With the exception of a few jurisdictions, primarily in oil- and gas-producing states, departments throughout the country now report significant to severe financial worries. During these hard times, which threaten to become even more difficult, probation administrators must learn to use more effective strategies for coping with limited funds.

This document has been developed to inform probation administrators about coping strategies that have worked for others in similar situations. The substantive areas in which strategies for resource management were examined include:

- Resource production and use
  including methods for generating new resources and using existing resources more efficiently;

- The budget as an economizing instrument
  methods for using the budget process to achieve more cost-effective and accountable operations;

- Networking as a managerial strategy
  methods for leveraging support for the probation function and expanding resources through linkages with other systems.

Recognizing that probation managers in different organizational and administrative contexts face quite different realities, the research underlying this report examined these strategies as they operate within state- and locally-administered departments; executive and judicial systems; large and small agencies; alternate conceptions of core mission; and different regions of the country.

The issue of organizational placement was considered especially important. Much contemporary thinking in the human services supports the idea of local administration. Local control of services is believed to allow for appropriate diversity in programs to meet varying local needs. Especially for community-based services such as probation, local administration also is expected to generate increased community involvement, "ownership," and sup-

port. State subvention arrangements often add to this rationale the logic of "sending the money to the problem" rather than working it the other way.

State administration, on the other hand, seems an effective means of increasing high-level accountability and laying the foundation for a coherent, broadly equitable statewide program. System-wide planning also is encouraged. And in times of shrinking resources, placement in state government also may put the probation department in a better position to lobby effectively for the funding it needs. "In an era of fiscal limits," observed one manager, "the state level is a good place to be."

To the working manager, organizational placement means other things as well. The county probation chief, for example, must operate in close, even face-to-face, contact with the electorate to whom those who fund him are responsible. The state probation and parole director may experience less direct pressure from voters, but may be expected to respond to broader issues or initiatives affecting many different government agencies statewide. The field of forces that support or constrain the departmental chief as he responds to fiscal cutbacks is different in different settings.

Intergovernmental relationships also have substantial effects on the fiscal problems facing probation and on the ease with which managers are able to deal with them. Probation, like many other government functions, very often operates within a complex web of state and local arrangements for funding and authorizing its programs and services. Funding may come from both levels of government, and from the federal level as well. Laws, standards, rules, and regulations emanate from all levels. Authorization to make certain changes may have to be obtained from more than one source, and interjurisdictional relationships may have to be considered in planning for change.

Many departments contract with another jurisdiction to provide facilities, program space, information, training, or other services. A few share responsibility for corrections as a whole. Regional or multi-jurisdiction systems, in fact, have been among the most promising models for community corrections in recent years.[1] Some of these systems are experiencing great difficulty in the current fiscal climate, and the outcome is not yet known,

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1. The multi-jurisdiction local government model was one of three major options for unification of community corrections outlined in a recent NIJ Program Model. See, E. K. Nelson, Robert Cushman, and Nora Harlow, Unification of Community Corrections, Wash., D.C., National Institute of Justice, 1980.

but the model represents a logical extension of the intergovernmental nature of many community corrections systems.

THE RESEARCH

The project began with a review of the literature and moved through an assessment of the state of the field by mail and telephone survey to in-depth investigation of nine sites.

Literature Review

The recently completed National Institute of Corrections study, Responses to Diminishing Resources in Probation, by Nelson and Harlow,[2] provided a base of literature relevant to the present study. Project staff updated listings in two areas —generic public administration literature pertinent to management under fiscal limits; and the literature of the community corrections field. The bibliography developed from this search appears as an appendix to this volume.

Telephone and Mail Survey

Fifty sites were selected for initial contact by telephone and mail. Of these, 21 were city or county agencies, 27 were state departments or local branches of state agencies, and two were regional systems. Some agencies were under the executive, others were responsible to the judiciary. Adult, juvenile, and combined adult and juvenile departments were represented. Some sites had been recommended as examples of innovative management, while others were selected to round out the nationwide sample.

The purposes of the telephone survey were to assess the extent of the problem of fiscal cutback nationwide and to locate effective and potentially replicable management strategies for probation under fiscal constraints. The mail survey sought quantitative data on staffing, budget size and breakdown over several years, and changes in caseload size.

Site Studies

Nine sites were chosen for further study, six to receive site visits and three to be handled through telephone interviews with key people in the system.

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2. E. Kim Nelson and Nora Harlow, Responses to Diminishing Resources in Probation: the California Experience, Report to the National Institute of Corrections, December 1980; and Nora Harlow and E. Kim Nelson, Management Strategies for Probation in an Era of Limits, Washington, D.C., NIC, 1982.

Sites selected for either form of study were those that seemed most promising based on information gleaned from the telephone survey. They ranged from small to large departments, and included state, county, and multi-jurisdiction systems.

Some sites were chosen because of exceptional overall management. These agencies seemed to be operating effectively and efficiently in most or all areas. Other sites were chosen because a particular strategy stood out as unusually innovative or viable in an era of fiscal limits.

Sites chosen for in-depth study included: Contra Costa County, Calif.; Maryland; Quincy (district court), Mass.; Oakland County (district court), Mich.; Arrowhead (region), Minn.; Missouri; Oregon (mixed state and county); Philadelphia County, Pa.; and Wyoming.

ORGANIZATION OF THE REPORT

This report consists of three main chapters. Chapter 1 presents an overview of strategies for managing probation agencies under fiscal constraints. Recognizing that probation managers must work effectively in two somewhat different arenas, the discussion distinguishes between internal strategies --those primarily focused on the internal workings of the organization-- and external strategies --those networking and support-building strategies that relate primarily to segments of the organizational environment. It is assumed that managers will make use of strategies in both arenas.

Internal strategies include:

- Rationalizing caseload management (classification, workload measures, differential offender management);
- Organizational redesign (centralizing/decentralizing, redefining core tasks, flexibility/stability);
- Measuring costs and performance (fiscal management, cost analysis, performance measurement);
- Human resource development (training, increased staff productivity).

External strategies include:

- Mobilizing community resources (volunteers, CRMT, contracting, coproduction, service agreements, jobs for offenders);
- Working with the justice system (interagency cooperation, joint programming, streamlining PSI procedures);
- Protecting and defending the budget (lobbying, fundraising, selling the budget, intergovernmental relations);
- Public education and information (constituency building, marketing probation).

Chapter 2 provides a comprehensive view of three effective systems, one administered as a state agency, another a part of county government, and a third that is both a municipal and a county department. Even a brief look at strategies in context and in working combinations can lend realism and clarity to any discussion of effective management approaches.

Chapter 3 guides the reader through the beginning stages of organizational reassessment by asking the questions that must be considered as an agency prepares to make the adjustments required by reduced resources. Issues in three quite different areas are examined: the question of mission; the need for good information; and the "networking" that must be done if probation is to build a strong base of community support.

This chapter concludes with a depiction of the leadership task as one of maintaining a dynamic equilibrium among the many variables that make up the organization and its environment. This task becomes more critical as budget cuts reduce any "slack" the agency may have been operating with, and as uncertainty and change become the norm.

CHAPTER 1: STRATEGIES

In few jurisdictions is it business as usual in community corrections today. The new fiscal climate, which has impacted almost all government services to some extent, has been especially hard on probation and parole agencies. Community corrections often seems to bear the brunt of cuts in criminal justice budgets, in part because expenditures for other functions are either mandated or fixed.[1] Its base of public support in the past also has been smaller and less dedicated than those underlying institutional corrections or the judiciary. Those responsible for allocating resources to the various public services often find the probation and parole agency one of few places they can conveniently cut.

Probation and parole administrators thus are pressed to develop or borrow new approaches to organization and management that can help them survive in an era of fiscal limits. Budget cuts, in some cases, have made it possible to implement changes that could not have been pushed through in more affluent times. Many administrators report that some of the changes they are making now they have been wanting to make for a long time. Retrenchment has provided opportunities and a climate supportive of innovations, especially those that increase productivity or cut costs.

In other instances, the insecurities generated by cutbacks have made staff or others more resistant to change. One probation chief reports that his plan to increase flexibility by moving staff as needed from institutional roles to caseload responsibilities was thwarted by staff opposition. Although the qualities needed in a good supervisor at the juvenile treatment center were similar to those of a good caseload supervisor, this chief dropped the idea of rewriting job descriptions to enable such personnel shifts because he felt staff anxieties over budget cuts were already too high.

There are many strategies an administrator can employ in response to budget cuts. One of the first steps almost everyone takes is to institute general economies, reducing paperwork, doubling up

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1. California Office of Criminal Justice Planning, The Impact of Proposition 13 on Local Criminal Justice Agencies in California, Sacramento, 1979; The Rand Corporation, The Impact of Proposition 13 on Local Criminal Justice Agencies: Emerging Patterns, by Warren E. Walker and others, Los Angeles, 1980; Timothy L. Fitzharris, Probation in an Era of Diminishing Resources, Sacramento, California Probation, Parole and Correctional Association, 1979.

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in cars, cutting back travel and telephone, eliminating professional memberships and subscriptions. When this does not suffice branch offices may be closed and functions such as municipal court work may be cut back or eliminated. Staff may be "bumped" to lower levels, and eventually some may be let go. The filling of vacant positions is given low priority.

If fiscal problems persist or worsen, managers may begin to look at more radical changes in organizational design or in working relationships with other agencies and groups. At this point there may be attempts to redefine jobs, restructure lines of authority and communication, or share resources and responsibilities with outsiders. New ways to raise revenues, such as selling services to others or seeking corporate contributions, may begin to make sense.

Whatever strategies are adopted, successful adjustment to new fiscal constraints will depend on many factors, some within and others outside the manager's sphere of control. Management temperament and style, as well as the kinds and amounts of support received from staff and the in-house capabilities of the department, are especially important. Success also seems to depend on:

- A good working relationship with the courts. A good relationship with the judiciary has softened the fiscal crisis for some departments. Accepting shortened PSIs and other paperwork reductions, allowing one deputy to handle all court cases (team staffing and specialization), making adjustments in court calendars to make better use of probation officer time, and advocacy by the court for the probation budget are some of the ways courts have recognized and supported probation's needs.

- Management control over budget preparation and defense. An administrator's confidence in the face of budget cuts often is influenced by the amount of control he has over the packaging and preparation of his department's budget to the funding body. The manager who speaks directly to the board of supervisors or legislative finance committee seems better prepared to handle cuts (or ward them off) than one who receives his funds through a bureaucratic process that allows him no direct input.

- A range of networks, and the ability to "work" them effectively. Successful managers in all settings share a talent for networking. The probation chief who manages well realizes his dependence on strong linkages in several arenas:

  the immediate working environment (justice agencies, funding bodies, community resources, the public);

  professional peers in related jurisdictions (e.g., statewide managers' associations or others doing similar work —for example, other directors of training);

  nationwide contacts with other probation professionals to share information, promote the spread of successful strategies, and build competence within the field.

The remainder of this chapter is devoted to coping strategies observed in the field or described in the corrections and management literature. Although many management strategies have both internal and external aspects to their design or impact, promising approaches are divided here into strategies internal to the agency (e.g., those involving changes in organizational structure, assignment of tasks, use of resources, and internal agency procedures for obtaining and using information) and those that focus on the environment (e.g., mobilizing external support, intergovernmental and interagency relations, the politics of the budget).

There are so many strategies that full descriptions of them all would fill several volumes. They are, therefore, only briefly noted here with accompanying site illustrations. Where a strategy is dealt with elsewhere in greater detail, that reference is noted. Useful citations also appear in the appended bibliography. A list of resources for information and assistance also is appended.

I. INTERNAL STRATEGIES

Under pressures of imminent cutbacks in budgets, many organization managers simply cut wherever they can. Yet if the budget crunch is anything more than a minor and temporary reversal of fiscal trends, it may be advisable to look more closely at the internal workings of the agency —its shape, staffing patterns,

core tasks, and levels of performance-- and launch a multi-faceted reworking of organization operations.

Four internal strategy groups are highlighted here:

> Organizational redesign --a new understanding of mission and core tasks; an emphasis on both flexibility and stability in appropriate situations; a viable combination of centralized and decentralized operations.
>
> Rationalizing caseload management --more formal classification systems, workload measures, differential offender management.
>
> Measuring costs and performance --more formal assessment of how well the agency meets its objectives, and what it costs to meet them.
>
> Human resource development --making the most of human resources through staff training and involvement in decision-making.

ORGANIZATIONAL REDESIGN

Three questions affecting the shape of the organization and its present and future capabilities must be satisfactorily answered as an organization deals with shrinking resources: (1)What shall the agency continue to do, and what shall it give up or leave to others? (2)Should operations be centralized or decentralized? (3)Should the focus be on innovation and flexibility or on stabilizing, formalizing, and tightening down?

The Probation Mission

The question of mission surfaces with some urgency when budget cuts are threatened or handed down. What tasks must be considered most central? Which can and cannot be trimmed without damage to the whole organization? Where will cuts do the least harm?

Probation agencies have answered these questions in very different ways, and their responses have had variable impacts on organizational design. Three examples from California in the aftermath of Proposition 13:

Riverside County attempted to scale down, but not eliminate programs, opting for the "balanced service" rather than a potentially lopsided single-mission model. Adversity produced a proactive effort to find the funds to retain nonmandated programs believed to be worthwhile.

Sutter County closed two offices, laid off some staff, consolidated certain services, and generally tightened up the organization. The approach of this small county agency was to define the "main job" of probation, then to turn collateral functions over to others or phase them out. The economizing movement was used to sort out the operation in a way the local community could support.

Contra Costa County made use of an interesting mix of the two approaches, maintaining balance in overall mission, even while cutting certain kinds of programs. This agency elected to hold on to those delinquency-prevention functions that so many California counties have de-emphasized. But accomplishment of these functions now is through promotion of other community resources, not direct service delivery. Organizational redesign has meant not just cutting out programs, but redirecting efforts to an alternate delivery system.

Decisions regarding what to cut and what to keep are constrained by many factors, not the least of which is the force of legal mandate. Operational decisions about mission also will be influenced by administrative directives from higher levels, by internal and external pressures to retain certain programs, and by interagency and intergovernmental agreements.

To some extent, however, probation administrators can exercise discretion in adapting agency mission to the new fiscal climate. A few conclusions from the field may aid them as they do so:

- More stable organizations, those that continue to draw funding in times of cutback, often seem to be those whose missions and methods are congruent with environmental expectations. Organizations that "fit" well with their environments tend to be less vul-

nerable to assaults on their funding base. As policy-makers consider where to make cuts, probation may be better protected if important segments of the community see its services as essential.

- Congruence, however, means that commitments have been made and expectations established. Innovation may be constrained by firm ties to the environment. Adapting successfully to future crises may be made more difficult if external interest groups have formed around the organization and its programs. There will be trade-offs between stability and flexibility.

- Credibility is the key to a viable mission. Are objectives and goals reflected in what the agency does, in staff attitudes and behaviors, in the effects of the organization on its task environment? Does the mission statement reflect a true consensus within the organization and in its environment regarding probation's legitimate domain? Is it clear what the agency stands for, even to those who have never seen a formal statement of mission?

Centralization vs. Decentralization

When the size of the budget becomes a major concern, many organizations look to increased centralization to consolidate, coordinate, reduce duplication, and cut costs. Functions that once were performed by field offices are taken over by headquarters, with subordinate units supplying the necessary data.

But is it really more cost-effective to have central office involved directly in the day-to-day activities of dispersed offices? Or is the result simply more paperwork for everyone, and less involvement, initiative, and responsibility-taking at lower levels? Are economies gained from centralization offset by the loss in ability to innovate and adapt?

There is no simple answer. Central control can discourage expenditures, and consolidation can cut costs. Standardization of procedures can increase equity and effectiveness. But if authority and discretion at the operating level are insufficient, the result may be "employee resentment, organizational stagnation,

and decision-making rigidity, with all their long-term costs for organization adaptability."[2]

It is important to find a workable balance. Probation departments today are centralizing, decentralizing, and combining the two approaches in varied efforts to make their operations more efficient and effective.

> Reorganization in Philadelphia has both centralized previously decentralized district offices and led to the specialization of certain departmental functions and their reorganization into separate divisions. In addition to structural changes, the department has adopted a uniform classification system based on a standardized risk and needs assessment interview schedule. Uniform case management modes also lend consistency to previously decentralized decision-making about clients.
>
> The Utah department (adult probation and parole) recently went to more consolidation, including a physical relocation of departmental functions to a central space across from the court house. In so doing they asked other agencies to share the new space, bringing into close proximity those services the department uses most often in working with its clients.
>
> The Wyoming department is both unified and decentralized, a structure that fits the geographic and demographic character of that state. The large and widely dispersed population is served by a network of 15 small (mostly two-person) offices, with volunteers organized in clusters around these decentralized hubs. A uniform classification, case management, and information system connects outlying offices with one another and with central office policy.

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2. Charles H. Levine, "Cutting Back the Public Sector: the Hidden Hazards of Retrenchment," (Third Inaugural Lecture) Lawrence, Kansas, University of Kansas, 1981. Levine also concludes that overcentralization can increase administrative overhead and result in more red tape and more delays at every step.

Missouri also benefits from an interesting mix of centralization and decentralization. A state probation and parole agency with department-wide goals and procedural standardization, this organization retains flexibility and promotes innovation by delegating significant amounts of discretion to staff and volunteers in its dispersed network of regional and district offices. (See Chapter 2.)

Flexibility or Structure? Innovation or Control?

The literature is full of advice to managers facing fiscal crisis, much of it extolling the virtues of flexibility, adaptability, and innovation. But many working managers feel that things are moving fast enough, that what is needed is greater control, a slower, more cautious pace of change, and an effort to standardize, formalize, and structure the processes and procedures by which the agency does its work.

On appropriate occasions, both positions may be valid. As with centralization and decentralization, it pays to tailor management responses to the kinds of problems they address. In general, this means a core of stability and structure will protect those areas of activity in which there is little uncertainty and change, while more flexible, experimental approaches will be adopted to deal with more volatile issue areas.

Contra Costa County has added a great deal of structure to its core (primarily mandated) services, first by setting priorities and objectives, then by careful budgeting and budget control. Where this department maximizes flexibility and stresses innovation is in nonmandated service areas (e.g., delinquency prevention). Here the department works with other agencies and with the private sector to come up with new ways of delivering services and maintaining service quality.

Fresno County, California, also focuses innovation and flexibility at the boundary between the probation department and its environment. This agency has been unusually creative in its networking activities — joining with other public and private agencies to develop and manage programs for a

common clientele, helping others to create programs that probation elects not to provide.

San Mateo County, California, implemented an imaginative and daring plan to transfer responsibility for a portion of the probation workload to the private sector. A network of diverse, community-owned youth service programs was built up over a period of years, with the charge of reducing referrals to probation from their communities. While the probation department was cutting back and tightening up its core operations, it was maximizing flexibility at the boundary with these alternative programs.

RATIONALIZING CASELOAD MANAGEMENT

One of the best examples of formalizing, structuring, and stabilizing in an area of high consensus is the current effort to rationalize and standardize workload management. Probation agencies throughout the country are injecting an unprecedented amount of structure and control into their caseload management schemes. What once was a loosely defined and widely variable effort to handle offenders differentially is fast becoming a "science" of workload management.

Wyoming was one of the first probation agencies to receive technical assistance and training from the National Institute of Corrections in setting up a comprehensive workload management system. The system combines risk and needs assessment, classification and differential case management, workload measures, and a management information system to permit not only rational handling of a varied caseload, but improved planning, budgeting, evaluation, and accountability.

In Missouri, a client analysis scale is used to classify offenders into supervision categories ranging from minimum (1,000 cases) to intensive. Staff efforts then are directed to those areas in which they are believed likely to have most effect. Probationers are moved to lower levels of supervision as quickly as possible through periodic review and reclassification. Early discharge is

used when further supervision seems unproductive.

Connecticut's classification system assigns offenders to one of three supervision modes: non-reporting, surveillance only, and intensive services. Different kinds of offenders thus receive appropriate levels and kinds of attention, and staff (who carry caseloads of only one kind) are more clear about their roles and responsibilities. Data on clients and supervision outcomes aids in planning and in making recommendations to the court.

Hamilton County (Ohio) uses a risk assessment instrument to screen 40% of its incoming workload into non-reporting status. Opting for a simple, inexpensive approach to cutting costs, this probation agency designed a tool that could be used successfully by volunteer screeners.

These are a few of many approaches being taken by probation departments to improve allocation of scarce supervision resources. Ranging from relatively simple screening to elaborate case management schemes, these systems generally are based on a structured approach to differentiating among offender types based on risk, need, or some combination of the two.

Probation agencies have been classifying offenders and handling them differentially for many years, but often in an informal and unstandardized way. These newer systems are an attempt to get all officers to use the same criteria in assessing need for supervision, thus making the classification decision more objective and replicable and decision criteria more explicit.

Differential case management today means assignment to a clearly specified mode of supervision, with number and kinds of offender and collateral contacts, special services offered, treatment techniques, and goals of service spelled out for each supervision mode.[3] Such specificity, combined with staff training in differential case management, is designed to enhance consistency in

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3. See, for example: National Institute of Corrections, Classification in Probation and Parole: A Model Systems Approach, Supplementary Report, "The Client Management Classification System," by Chris Baird, Washington, D.C., NIC, 1981.

the treatment of offenders and optimize the use of departmental resources.

Differential case management implies that some portion of the workload will receive less service, or less costly services, than others. Unless low-cost alternatives are used to a significant extent, classification may not result in resource savings. Some alternative dispositions include:

sole-sanction restitution (offender payments to victims in lieu of supervision);[4]

community service;[5]

no-service, non-reporting caseloads;

six-month supervision (short, intensive supervision with early termination).

Workload measures often are used in conjunction with formal classification and case management. These are formulas for assigning resources to task areas, as well as individual cases and other work "units" to officers. Based on the time it takes to perform each task (e.g., how many hours does it take to do a short-form PSI?), workload measures permit more equitable and more efficient distribution of departmental work.[6]

Some departments combine all three elements (classification, workload measures, and differential case management) into an integrated system, tying in and coordinating all paperwork and processes and creating from the data the system produces an array of management reports. The system promoted by the National Institute of Corrections, and in which the NIC provides training and technical assistance, is well integrated in this way.

Classification and workload management systems are giving many probation departments a sense of control over scarce resources and an ability to respond to questions from outsiders about their operations. Collecting and using these kinds of data permit:

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4. The restitution program of the district court in Quincy, Mass., is described in The Earn It Story, by Andrew Klein, available from Citizens for Better Community Courts, Quincy, Mass.

5. National Institute of Corrections, Community Service by Offenders, by M. Kay Harris, Washington, D.C., 1980.

6. Workload measures are described in Carlson, Eric W. and Evalyn C. Parks, Critical Issues in Adult Probation: Issues in Probation Management, Washington, D.C., LEAA, 1979.

- a better understanding of where service is needed as crime rates shift;
- more efficient assignment of officers to tasks and to offices;
- an overall picture of judicial behavior;
- more intelligent, more responsible, and more effective presentation of budget requests to funding bodies.

MEASURING COSTS AND PERFORMANCE

Increased interest in economic analysis in recent years derives from the utility of these data both in allocating resources wisely and in supporting the need for more. Analyses of costs and performance can be important aids to correctional decision-making.

A recent NIJ Program Model describes the various cost analysis techniques and the kinds of decisions each will support.[7] For example:

> Cost analysis --used to determine how much a program costs or whether sufficient funds are available to institute a program at a specified level of service;
>
> Comparative cost analysis --used to aid choices between or among options by showing which programs or policies cost less;
>
> Cost-effectiveness analysis --shows what outputs are achieved for a given dollar outlay, or which program delivers more for that amount; used to determine how program results can be maximized for a given dollar amount or costs can be minimized in achieving a given output; aids in choosing the program with greater potency;
>
> Cost-benefit analysis --shows what dollar value of outputs is achieved for a given dollar outlay; long-run outcomes are costed out to compare them against actual dollar inputs.

Cost analysis and comparative cost analysis are the most straightforward and most commonly used techniques. They are fundamental to budgeting and planning, to defending a budget or plan, and to making decisions about program and policy. Cost analysis is at the heart of "program budgeting,"[8] to which many correctional agencies have turned in recent years.

Cost-effectiveness analysis goes a step further to examine the results obtained for a given level of expenditures. Assuming two programs cost the same, which is "better"? This kind of question requires the decision-maker to consider agency performance as well as cost, which leads to the specification of objectives and of measures to assess their achievement. Some corrections agencies have begun to develop performance measures and to look at costs in light of program outcomes. Cost-effectiveness analysis may become more common in coming years.

Cost-benefit analysis is the most time-consuming and costly form of economic analysis, as well as the most difficult to do well. As a result it is the least commonly used technique, in corrections as in other fields. Identifying tangible and intangible program outcomes, and then assigning dollar costs to them, can be both complex and arbitrary, especially in an agency whose business is human service. Nonetheless, even if only as a way of thinking about the problem, cost-benefit analysis can encourage a more resource-conscious approach to agency decision-making.

What are the major points to keep in mind when deciding whether to undertake economic analysis and which technique to use? The following are a few suggested by the NIJ research:

- Each technique is appropriate for certain specific decision-making situations. It is not cost-efficient to use a more sophisticated or more expensive technique than is needed to answer the question at hand.
- Each technique has its limitations. None takes into account those non-economic fac-

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7. Billy L. Wayson, and others, Managing Correctional Resources: Economic Analysis Techniques, Washington, D.C., National Institute of Justice, 1981.

8. The Wayson (NIJ) publication cited above provides a useful description of program budgeting techniques and applications, as well as other budgeting approaches.

tors (e.g., political considerations) that are so important to decisions in the public sector.

- Many items cannot be meaningfully measured or costed out, and consensus on measures and costs cannot always be achieved (e.g., what is recidivism and how much does it cost the criminal justice system or society as a whole?).

- If their limitations are understood and respected, economic analysis techniques can be very useful both as an aid to departmental decision-making and as a sound basis for negotiating with funding bodies for needed resources.

HUMAN RESOURCE DEVELOPMENT

There is a very great danger, when resources are shrinking, that too little attention will be paid to the human resource component. If the skills, motivation, and commitment of staff are allowed to deteriorate, the agency may become less and less able to do the job. Productivity falls as the agency loses "the best and the brightest" to other jobs, as training is abandoned, as the traditional incentives for good work disappear.

There are bright spots in the generally grim picture that emerges from a review of nationwide experience:

> A group of 16 probation and parole agencies in the Delaware Valley (representing county, state, and federal agencies in New Jersey, Pennsylvania, and Delaware) have joined forces to provide staff training in such areas as employment development and risk assessment. This group seeks to share training resources and information (e.g., a training resource directory has been developed).
>
> California county probation departments can now take advantage of a state funding arrangement similar to that which has supported the Peace Officers Standards and Training Program. Monies for training probation officers are funneled into the Cor-

> ments on traffic fines.[9]
>
> Contra Costa County probation is one that has taken full advantage of California's training subsidy, offering their own staff and employees in other counties a wide range of developmental opportunities. Taking in students from other jurisdictions spreads the cost, making the training venture more feasible for Contra Costa as well as other participants.
>
> The chief in Sutter County (California), a strong believer in training, opposes what he calls "R and R" training, preferring to direct efforts to critical skills the mastery of which can make staff more productive. He worked with his staff to identify "critical tasks," which then became the foci for training. This more pragmatic, cost-conscious use of training seems a promising model for probation today.

In addition to finding ways to continue to offer training, some agencies are focusing more on staff needs for job satisfaction and the organization's growing reliance on quality contributions from staff. There is a strong trend, in probation as in other fields, toward increased middle-management and staff participation in areas that once were the province of top managers.

> The probation chief in Fresno County (California) has pushed some areas of authority and responsibility down to middle managers, while encouraging them also to involve and depend on those at line levels. Planning, budgeting, evaluating, priority-setting all have benefitted from a broader base of participation. Staff also are involved in a wide range of community activities, which has strengthened the agency's ties to its environment.
>
> The chief of the Nevada probation and parole department involves line staff in setting

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9. Information about this funding arrangement can be obtained from Timothy Fitzharris, director of the California Probation, Parole and Correctional Association in Sacramento, who was instrumental in its creation.

priorities and considering ways of meeting them. This "lets them know why cuts are needed," but it also taps staff ideas and energies and allows them to impact the planning process.

Many administrators have used staff task forces or working groups to analyze problems and suggest solutions, especially with the goal of cutting costs. The director of the Marion County, Oregon, Community Corrections Department, for example, used staff to "brainstorm" improvements in the PSI process, which had become costly and full of delays. This use of staff is similar to the "quality circles" now used routinely by some public and private agencies to tap worker ideas and experience in improving productivity.[10]

Experience suggests the multiple benefits of human resource development, especially in times of fiscal scarcity. Several conclusions stand out:

- Staff training not only increases skills; if handled well, it adds to staff cohesion, feelings of self-worth, morale, and professionalism.

- Involving other jurisdictions in training is often more cost-effective, and it is particularly conducive to increased professionalism because staff begin to understand their work in the context of the field.

- Middle-management training is especially important to give those promoted from the line level a sense of managerial identity and an understanding of their leadership responsibilities in a time of slow-growth or retrenchment.

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10. The history and uses of quality circles and an analysis of factors contributing to their successful use can be found in: Stephen Bryant and Joseph Kearns, "Workers' Brains as Well as Their Bodies: Quality Circles in a Federal Facility," Public Administration Review, 42(2):144-150, 1982.

II. EXTERNAL STRATEGIES

Probation agencies, like most other organizations these days, must pay more attention to those outside the boundaries depicted by the organization chart. The environment has come to exert an increasingly important influence on organizational decision-making and action, especially as the fiscal climate worsens. Probation managers nationwide talk of "networking" and constituency-building, of the need to become more politically aware and involved.

Four external strategy groups are highlighted here:

Mobilizing community resources --involving citizens as volunteers, contracting for service, job development for offenders.

Interagency cooperation --working with justice and social service agencies to share costs and resources, to cut red tape or reduce delays, to streamline interagency procedures.

Protecting and defending the budget --including techniques for lobbying, fundraising, selling the budget.

Public education and information --increasing visibility and public understanding of the probation mission.

MOBILIZING COMMUNITY RESOURCES

As public revenues become more scarce, some probation agencies are making greater use of lower-cost resources available in the community. They are using more volunteers, paraprofessionals, and student interns. They are contracting some services or functions out to others where this is more cost-effective. And some are investing more heavily in job development both to enable offenders to fulfill restitution responsibilities and to help them to find more permanent work.

Many probation managers are taking another look at the concept of Community Resource Management Teams (CRMT), or at least encouraging their professional staff to think of themselves as "resource brokers" rather than primarily as direct service providers.

The Philadelphia Adult Probation Department has introduced CRMT as part of a general reorganization of the agency and implementation of cost-containment strategies. Five teams are now in operation, each consisting of five officers, a supervisor, and clerical support staff. Officers are assigned specialized tasks (e.g., one officer handles all court work for a given day), and support staff handle administrative (banked) cases. Resource brokerage, development, and advocacy are the heart of the service delivery system. (See Chapter 2.)

Another innovation in Philadelphia is the service network or "consortium," a reciprocal agreement among social service agencies to accept one another's referrals for service. Operating under formal bylaws and with official and informal coordinating mechanisms (e.g., a form filled out by the referring agency is hand-delivered by the offender and mailed back as follow-up), the referral network is designed to increase interagency collaboration in the delivery of services.

Volunteers are used by many probation departments as a means of adding to service capacity. The 52nd district court in Oakland County, Michigan, a small department of only three deputy probation officers, relies heavily on student interns to handle its growing workload. Interns carry caseloads and do most of the jobs an officer does, including supervising felons at community service sites. The manager reports that students are an effective resource, with high reliability and accountability since they are supervised by their school as well.

Volunteers sometimes play a planning and policy-making role in the management of community corrections rather than, or in addition to, providing direct service to offenders. Generally this is accomplished through citizen advisory boards or similar structures for involving the community. Missouri structures its entire program around volunteers in its regional Community Action Boards. These are not just adjunct service providers; they have major input to policy and budgeting, to program development and evaluation, and to building credibility and visibility of the community corrections system. The tri-county community corrections system of Dodge-Fillmore-Olmsted in Minnesota makes similar use of citizen volunteers through its community corrections advisory board and program committees.

Quincy, Massachusetts, with its highly regarded and well publicized "Earn-It" program, offers one of the most promising models for involving the business community and government agencies in its extensive restitution and community service program. Business leaders commit their firms to providing 100 hours of work at the minimum wage to allow offenders to "earn a second chance." The Earn-It philosophy is attuned to business and community values, and a great deal of effort goes into building and maintaining local support. The availability of work sites and assignments has enabled the diversion of one-quarter to one-third of the traditional probation caseload.[11]

Many problems may be encountered by the agency that seeks to expand its reliance on the community it serves. Probation moved far from its "community-based" roots in recent years as the field became more professionalized and the system more bureaucratic. Attempting now to expand the use of volunteers or paraprofessionals or purchase services from the private sector likely will run into opposition from professional staff, and an array of legal and administrative questions may need to be dealt with.

A recommitment to a community orientation is possible, however, and this may be a central strategy for the fiscally strapped probation department with a growing workload. Strategies that enable citizens to play planning and policy-influencing roles can be particularly effective in building support and understanding in the community.

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11. See: The Earn It Story, supra note 4.

INTERAGENCY COOPERATION

Fragmentation of the justice and social service systems has long been considered problematic, not only for economic reasons, but for its impact on service quality as well. There are duplications, service gaps, and unnecessary delays in almost any community corrections system.

Unfortunately, the new fiscal stringency has caused many government agencies to eliminate collaborative efforts developed in times of growth and resource slack. Exceptions found in some jurisdictions are of two general kinds: those that focus on cutting costs and those that expand scarce resources by sharing them.

> Contra Costa County's inclusion of outsiders in their staff training program, and the Delaware Valley Training Consortium, mentioned in the Human Resources section above, are good examples of expanding resources by sharing.
>
> Interagency cost-cutting often involves the presentence investigation process. Pima County, Arizona, cut report preparation time by one-third and costs by more than 20% through short reports and the use of volunteers and paraprofessionals in data collection. The department also designed special information request forms (for obtaining information from other agencies), expanded the use of computerized requests, and eliminated overlap in internal forms and procedures. Much effort was devoted to working with other agencies to identify information-sharing problems and to speed up the data collection process by eliminating them.[12]
>
> Interagency resource-expansion efforts often revolve around community resource management. In Philadelphia, a number of procedures are in place to facilitate interagency cooperation. Community resource development often requires officers and administrators to work closely with professionals in other agencies and other fields. The CRMT "consortium" is a formal interagency mechanism for streamlining the service delivery system. (See Chapter 2 and section above.)

12. Strategies for streamlining the PSI process are described in: American Justice Institute, Presentence Investigation Report Program, by Loren A. Beckley and others, Sacramento, Calif., 1981.

PROTECTING AND DEFENDING THE BUDGET

Many probation administrators have little to say about the size or shape of their departmental budgets. Some of these are district managers within a state system, but quite a few are departmental chiefs who get their funding from the court, and thus are subject to the preferences and inclinations of the judiciary. Some judges do not see the importance of the budget presentation or of the probation manager's active involvement in budget defense.

Even those managers who do have an opportunity to impact the budget process may be unaccustomed to working in the political sphere. Some assume that, since caseloads are rising and institutional alternatives are more costly, the probation department will simply continue to receive the funding necessary to get the job done.

Among those who are able to take an active role in budget defense are some who have become quite sophisticated in the politics of the budget and its presentation. An astute administrator studies the decision-making process to learn where and how priorities are set. There are times when one can go directly to the responsible person within the funding source; at other times it is wise to make contacts in a more round-about manner.

The most successful managers also recognize that budgeting is a year-round activity and that feeding back information to the funding source is an essential part of the process. This is partly an accountability device, but it is also a means of increasing visibility and generating concern for protection of the departmental mission.

> Many managers are devoting more time to maintaining contacts with the executive and legislative branches of general government --answering questions, offering information, keeping the department before the official and public eye. One chief spends time with each new member of the board of supervisors,

making sure they understand probation's contributions and needs. Another attends every meeting of the board of supervisors or sends his chief deputy, "just in case they want to ask us a question." Others spend as much time as possible "over at the capitol" when the legislature is in session, talking to people, attending hearings, making the work of the department known.

The Fresno County probation chief involves himself and his staff in the tasks and concerns of general county government. Working on various task forces to study and upgrade county services and to resolve county-wide problems, members of this outward-looking department have forged a visible and productive role for probation that pays off in community support and the cooperation of local government.

In addition to visibility and availability to funding bodies, it is especially important these days to have the facts and figures at hand. Many administrators report that their management information system, which generally is grounded on systematic offender classification, has been critical in enabling them to answer questions about departmental activities with sufficient specificity to satisfy those who allocate funds.

Connecticut's adult probation department uses a work unit system that attaches a numerical unit to every aspect of the probation officer's job. "The day is gone," says the departmental chief, "when one can simply try to justify the budget request on the basis of caseload size and number of investigations completed in a given year." This department is now able to show policymakers the percentage of time spent in the field, in the office, in investigative work, and so on, and to demonstrate just how much is needed to carry the workload.

It also helps to organize available data into an information package in support of the budget presentation:

The Contra Costa chief prepares a comprehensive information package to accompany his budget presentation, then makes certain he and his management team are prepared to

answer any questions that might come up. (See Chapter 2.) In the first budget cycle following Proposition 13, this chief prepared a collection of charts and graphs depicting the positions and programs affected by proposed budget cuts and the ways position losses were being handled; the total operating budget and percent change for a five-year period; a breakdown of the proposed budget showing distributions by major program; comparative corrections costs (prison vs. probation as well as different probation programs); unit costs for the various probation functions; workload indicators for probation programs over a five-year period; delinquency trends in the state; officer workload standards for each function; number of positions authorized vs. filled; distribution of staff among position types; and percentage of each position type compared with state average.

In addition to year-round efforts to build support for the probation mission and special efforts at budget time to defend the department's need for resources, some administrators also are finding ways to expand and diversify their funding base.

New sources of funds are sought through fines, fees, and penalty assessments, through room and board charges, contracts, and fundraising (e.g., through auxiliary support groups).[13] County probation departments in California have banded together to lobby the state for assistance and support and to protect themselves against the negative effects of proposed legislation.

A few departments have created organizational entities to receive funds and provide services, finding that a nonprofit corporation outside the probation agency is in a better position to perform some kinds of service or solicit some kinds of funds. The federal probation office in Los Angeles

13. A review of "cost offsets" and sources of funds in addition to supervision fees is found in Timothy L. Fitzharris, Economic Strategies in Probation, Sacramento, California Probation, Parole and Correctional Association, 1981.

created Industry-Corrections-Interface, Inc. (ICI) to provide ex-offender skill training, preparation for work, and job placement services through contracts with employers in the community.[14]

The probation department and district court of Quincy, Massachusetts, also created a nonprofit corporation to add flexibility to probation operations. Citizens for Better Community Courts, Inc., runs the court's Earn-It program, which provides sentencing alternatives (restitution, community service) through connections with the local business community.

PUBLIC EDUCATION AND INFORMATION

Probation managers everywhere are learning the value of a public constituency, especially in times of fiscal cutback. Improving the public image of probation, and increasing its visibility in the community, are rationales behind various "marketing" efforts in the field today. These efforts have included:

Using the media --The Kern County, California, chief appears on radio in a talk-show format, answering questions about the department and its role in community affairs. Some departments send out press releases about agency activities and programs to counteract the negative impact of crime-related news.

Workshops and orientation programs --The chief in Fresno County, California, has given much thought to the problem of low visibility, and has launched a campaign to make his department well-known and understood. This agency hosts educational workshops for special community organizations such as the Chamber of Commerce or the League of Women Voters, and offers one-day orientation programs (an inside look at the justice system) for small groups of community leaders.

Presentations to community groups --The Kern County chief and his division managers not only accept but solicit invitations to speak to service clubs, business organizations, student groups, or others seeking public speakers.

Volunteers --Many departments rely on their volunteer programs to make people aware of the department, its activities and needs. A well-run volunteer program is a major communication device. Says the chief in Louisville, Kentucky: "One of the great blessings of the volunteer system is that you purchase good will."

14. Dr. Jack Cocks, Deputy Chief U.S. Probation Officer in the U.S. District Court in Los Angeles can provide information on the use of such 'third-sector' organizations to provide probation services.

STRATEGIES AND THEIR USE

There are no simple answers to the problem of fiscal scarcity and no certain means of insulating an agency from the negative effects of budget cuts. Administrators throughout the country, in probation as in other fields, are struggling to respond appropriately to a new challenge --that of long-term fiscal cutback and organizational decline. The strategies overviewed here have been selected to suggest the diversity of approaches that are being used with some success.

Probation managers should not expect much success from heavy reliance on a single strategy. Skilled administrators use a mix of internal and external strategies. They recognize that the two arenas are integrally related, and that what can be accomplished in the community will depend on how staff and other resources are used and how the agency is organized internally to perform its various functions. The strategies themselves, and the combination in which they are used, may seem similar from one jurisdiction to another, but on closer examination they can be seen to reflect the capabilities and constraints of the particular agency and its setting.

No manager is entirely free to implement any strategy to which he takes a fancy. There are many constraints on change of any kind. An example of this fact was provided by the probation chief in Contra Costa County, who considered taking advantage of a new state law permitting the collection of fees for supervision. Judges opposed the idea, arguing that enforcing the payment of fees would take the probation department into the area of civil

law, where it does not belong. The probation chief did not force the issue, bowing, at least temporarily, to environmental constraints. There are possibilities for moving around these constraints (e.g., if the court could be convinced to allow fees to be collected by an independent contractor), but it remains to be seen whether the department will opt to do so.

Implementing strategies to deal with resource constraints thus is a political task as well as an administrative one. Both within the agency and externally, the skills associated with the political sphere are especially needed in an era of scarcity and choice, when doing one thing may mean doing less of something else. The definition of mission itself may become a highly charged issue; certainly it will require more than a goals statement prepared and distributed by a few at the top.

Staff involvement, community involvement, participation, commitment, support --these are key concepts in putting together an effective mix of strategies for breathing new life into a fiscally troubled probation agency. In the longer run, it will not be sufficient to install a new classification system or begin collecting supervision fees, although these are important technologies or tools. An organization ultimately can be no better or more effective than the people who do its work.

Chapter 2 presents three case studies of community corrections agencies that are responding to fiscal cutbacks in promising ways. Some of the strategies these agencies are using are innovative and relatively unusual; others are quite routine. Management in each of them, however, has put together a combination of internal and external strategies that seems effective in that setting. Staff in each case are involved in many areas of administrative concern --planning, problem-solving, community support-building, implementation of cost-conscious technologies. Citizens too play important roles, and management devotes considerable time to cultivating community ties.

CHAPTER 2: CASE STUDIES

Effective examples of cost-conscious management generally are seen in some combination of strategies. A probation department may make good use of volunteers in part because it also has a workable offender classification system. Another may be especially successful in defending its budget largely because it has a good management information system. One way of depicting the interactions among management approaches is to look at them in context.

Some probation departments seem to be responding particularly well to resource constraints on several fronts simultaneously. It is not easy to discern the reasons for success, for there are many variables at work. In addition to skillful management of the current situation, there may be a history of good working relationships in the jurisdiction, a fortuitous collection of competent individuals on staff, or an unusual array of resources in the community.

It is clear that success does not require either state or local administration. There are successful departments operating under diverse organizational arrangements, as is obvious from the three case studies presented below.

MISSOURI DIVISION OF PROBATION AND PAROLE: A Cost-Effective, State-Wide System with Decentralized, Community-Owned Regions

I. An Overview

The Missouri probation and parole system has evolved through challenge and difficulty into a coherent, committed organization. To the outside observer it presents fascinating paradoxes. Sensitive to issues of cost and economy, it remains committed to treatment services. Although workload planning and priority-setting are targeted to the total client group, resources are directed to focused and specialized programs. With strong leadership from headquarters and a state-wide perspective dominating both philosophy and resource allocation, regional offices nonetheless exercise considerable discretion in adapting programs to local needs. And the most visible feature of this robust public organization is a volunteer network of community action boards. The agency seems to have invested itself in a strategy of "co-production," a viable partnership between the public and private sectors.

The Missouri Division of Probation and Parole employs 305 officers with a workload average of about 290 work units and a total staff of slightly above 600. The 1982-83 budget has not risen over the previous fiscal year, but workload and costs have increased.

Previously a part of the State Department of Social Services, in 1981 the division was placed in a unified correctional agency, along with penal institutions for adults. The division is administered through regional offices (which in turn are divided into districts) to achieve "grass-roots" contact with community resources. The chief administrator, Gail D. Hughes, has carried state-wide responsibility for probation and parole for the past 15 years and through various changes in organization and program. Regional administrators also have considerable longevity, so there is an obvious continuity and cohesion in the senior management team.

Among the noteworthy features of this department are:

- a focus on making better use of available resources rather than simply looking for new funds;
- a coherent mission, well integrated into departmental routines;
- involvement of the community through volunteer boards;
- an emphasis on group work with offenders that makes efficient use of staff and volunteers;
- a five-year plan, "revisited" annually, that unites the department while involving its components in the planning process;
- a contingent management style.

II. Some Prominent Features

A Focus on Cutting Costs

A major strategy for making operations more cost-effective has been the use of volunteers, but some other very practical steps have been taken to cut costs. For example, workload management through risk and needs assessment and differential supervision are given great importance.

The client analysis scale is the basis for a classification system that emphasizes minimum supervision caseloads of 1,000 at one end and short, intensive supervision at the other. Management controls are used to direct staff efforts toward areas in which the payoff is thought to be greatest.

Most interactions, following the initial meeting between the offender and the probation officer, occur in groups. Almost any evening one may find a group of some fifty offenders working with a volunteer counselor or group worker with the help and supervision of a probation officer. This unusual reliance on group work seems highly cost-effective, especially combined with the use of volunteers.

Clients are made a part of the planning process. The prevailing attitude toward offenders is honest and straightforward. It is assumed that probationers want to succeed, and the job of probation staff is "to teach them how to make it to minimum supervision and eventual discharge." At the first meeting with a probation officer, clients are asked to rate themselves, using the client analysis scale. These ratings then are compared with the official scale completed by intake workers, and the implications of any differences noted are discussed. Clients are involved from the start in developing their own case plans.

Routine activity is suspect. Goals are set for every case and reviewed periodically. Client needs are identified and efforts are made to meet them. Performance audits are used, but efforts are made to make the process of moving toward goals one of satisfaction and achievement. Clients are expected to demonstrate progress, but are treated with respect.

Cost-cutting also has included the use of early discharge where further supervision seems unproductive. Presentence investigations for misdemeanors have been limited to cases in which incarceration is a possibility. And the period of intensive supervision has been decreased, so staff must work harder to reach goals within a shorter time.

Analysis of work elements is emphasized in determining how to allocate resources. For example, the finding that a PSI costs $196 influenced the development of policies limiting its use. The general posture is one of constantly assessing activities to get the most out of available resources.

Cost-cutting is not just the responsibility of management. Everyone is expected to participate in the review process and to become involved in implementing any decisions made.

A Well-Defined Mission

Agency staff at all levels display an unusual consistency in describing the philosophy and methods that characterize their work. They believe in dealing with client problems of the "here and now" rather than therapy oriented to the past. Group activity is seen as more powerful in modifying behavior than individual casework. Lack of specific skills, including social skills, is seen as a problem for all clients, and remedial programs are tailored to build those capacities. Working through the community is seen as more productive than direct service to clients. "Staff train volunteers," we were told, "and volunteers train other volunteers."

It is clear that consensus on mission did not come quickly or easily. Early efforts to move away from the "medical model" met with resistance from some staff. Other officers, especially those with a law enforcement orientation, found it difficult to work with clients in the close, supportive manner which now has become the norm. The former style of the officer generalist has been replaced by a system emphasizing each staff member's special interests and abilities. Now an officer with a flair for finding jobs is encouraged to emphasize that skill.

Those who experienced these changes describe them as painful but necessary. New problems required new solutions. With too many clients and not enough resources the pressures of fiscal adversity helped to drive the changes. Management saw its task as one of creating a climate for change and "keeping the pressure on," but recognized the need for staff to participate in working out new approaches.

Outsiders were used at various points in the process of formulating new values and goals. Interestingly, the ideas of outside "experts" invariably were modified to fit the needs of the situation. For example, the team approach of CRMT was adopted, as were many of the resource brokerage techniques associated with that approach, but certain features (e.g., some of those related to accountability) were rejected. Concepts from William Glaser's "reality therapy" were adapted in defining the new treatment philosophy and in tailoring operational procedures to suit each region. The volunteer programs of other jurisdictions also were drawn upon, but again some pieces of advice were followed while others were not, depending on local needs.

The dominant mission of working through and with the community emerged as a realistic alternative to the previous amalgam of therapy and control, which had come to be seen as no longer credible. Today, in a climate of stringent economies, the Missouri staff believe that their program fits well with the temper of the

times. They take pride in having developed clear-cut goals while many probation and parole agencies are immobilized by competing purposes.

Community Action Boards as Local Power Centers

What does it take to shift the center of influence and activity from a bureaucratic structure to a volunteer network associated with it? Professor Ronald J. Scott, Chairman of the St. Louis Region's Community Action Board (CAB), says, "You have to pay the price. You must take the time and make the investment. If attempted as a public relations vehicle, it will be doomed to failure. The transfer of control over programs and decisions must be authentic."

In Missouri, the key element may have been the attitude of top management toward the transfer of power. There was a firm decision to move toward community "ownership," and a willingness to take the necessary risks. The agency was careful in selecting and preparing volunteer board members, but ultimately the question of the local boards' independence had to be faced. "Allowing fifteen or twenty people to follow their own bent means taking some chances."

Local board resources were seen as a kind of venture capital, taking the lead in mounting new programs which agency staff could formalize and consolidate. In the end, a successful CAB becomes more visible than the agency itself, and this, in fact, is the goal. To structure events toward that end may take an unusual administrator.

The story of the Missouri CABs is a lesson in turning an organization into a social institution. Power originally vested in the bureaucracy gradually was transferred to the volunteer boards. Local political figures, and the public at large, came to see the boards as the locus of authority and initiative. Staff of the division became the staff of the boards.

The dangers of inauthenticity were faced and understood during this process. The volunteer boards could have been just another way of manipulating citizens, but they were not. The chairman of the St. Louis CAB tells of stopping by the headquarters office in Jefferson City without prior notice and immediately being invited into the office of the division director. "When I walked into the office, everything stopped. Board members have clout."

Over time, division of labor between staff and volunteers has become increasingly refined. In successful CABs many members remain involved for years, make major investments of time, and work hard at reaching the goals they set for themselves. Staff also

must be highly committed; the job cannot be done from nine to five.

Staff come to feel proud of their effectiveness in community contacts rather than only in casework management. They learn to develop good relationships with community leaders, many of them highly placed in business circles, and they constantly seek to diversify the resources represented on the board. The use of volunteers proves helpful in improving the public image and credibility of probation. "The public may not trust government, but it does trust our CAB."

Staff discover new satisfactions in being program developers rather than program operators. They move from area to area and from program to program. New volunteers are trained, and their work is facilitated. "We make it simple and fast, avoiding mounds of paperwork. We teach them, trust them, value them."

As the developmental work has proceeded, an infrastructure has emerged to back up the volunteers and make their activities as efficient as possible. In St. Louis, for example, the various "hip pocket" resource lists were combined into a comprehensive Community Resource Guide. Organizing around regional offices makes it possible to use the limited paid staff in specialized ways to increase efficiency and realize economies of scale. For example, court orders can be handled by one regional staff member rather than dispersed through multiple caseload-carrying officers.

Fearful of creating a utopian impression, the chairman of the St. Louis CAB urged that the idea of volunteer boards not be sold as a panacea, that it be stressed that the road to a successful volunteer program is difficult and time-consuming to negotiate. "We are just beginning to understand volunteerism," he observed, "but the potential is enormous."

Long-Range Planning for Cost-Effectiveness

When the new directions of the Missouri agency had begun to jell around some key themes, management sought to formalize both goals and implementation strategies within a five-year plan. "The plan" crops up in all discussions of the work of the agency. It is expecially critical to agency efforts to get more out of existing resources.

The approach seems to be one of "mixed scanning,"[1] in which an

1. Amitai Etzioni, "Mixed Scanning: A Third Approach to Decision-Making," Public Administration Review, vol. 27, 1967.

effort is made to develop durable, long-term policies while constantly refining and adjusting them to the exigencies of the short-term situation. The plan essentially is a statement of goals and tasks. Goals often are general and difficult to measure, but associated tasks typically represent pragmatic definitions of what goal achievement means in operational terms. Success thus can be evaluated and, in some cases, measured. The five-year plan is prefaced by some historical commentary, relevant study and survey data, and a candid statement of unresolved problems.

The written plan conveys a sense of moving from the abstract to the particular, from a succinct statement of an overall mission to a specification of goals and, finally, to a list of tasks related to each goal. The theme of reducing costs of service delivery appears throughout the document.

Written statements, however, do not convey the degree to which the planning process has infused the day-to-day management of the division. Periodic "revisiting" and updating of the plan is the vehicle for resolution of those difficult decisions in which giving priority to one goal means reducing the resources available for another. This process brings the division chief and regional administrators together as a management team, and requires that they reach consensus around critical elements of the agency workload, modifying those understandings from time to time.

The division chief describes these decision-making episodes in graphic terms. "We all get together in one room, and the walls get covered with lists and figures and charts. The discussion gets pretty bloody, but by the end of the day we have all reached agreement. It is a participative process. The regional administrators must defend their priorities to their peers. Also, although they are advocates for their own programs and staffs, they are expected to have an understanding of the entire system and shared responsibility for the overall enterprise."

The St. Louis regional administrator describes the process in similar terms. "We have to pay attention to the whole state and still represent our region. We have to think in both worlds and be responsible to both worlds. The plan, and the process of updating the plan, makes us do that."

A Contingent Management Style

Just as the mission of the Missouri agency has evolved into a definitive, value-based set of doctrines, so management philosophy has taken on a distinctive character and an attendant style.

To a large extent, the predominant approach to administration reflects the style of the division chief, but it also has infused the management team. It is an interesting combination of firm control over certain functions and unambiguous delegation of others. Functions believed essential to mission are centrally controlled. Those involving adaptation of service delivery to local imperatives are delegated. This style fits what some have defined as a "contingent" management style —dealing with "bedrock" issues in an efficient, bureaucratic way, while allowing functions on the "cutting edge" to be experimental and flexible.[2]

Those involved cite participation as a key element. Emphasis is placed on broad and authentic sharing of responsibility for problem-solving. Pressure for results is maintained, and the need to improve productivity provides constant tension, but the mode is described as "gentle persuasion."

Outside consultation was important in working out a management style, as it was in developing a treatment philosophy. Conscious attention was given to insuring a "fit" between management and program orientations, an uncommon concern in the probation and parole field.

The Telemetrics management training of Jay Hall represented the major source of outside consultation. This training emphasized an integration of productivity concerns with human concerns, as originally suggested by Blake and Mouton,[3] and incorporated other concepts such as Rensis Likert's[4] idea of "linking pin" roles (e.g., regional and district administrators) to tie management process together both vertically and horizontally.

In facing outward to the larger arena of State government, and in dealing with crucial linkages in the environment, management style appeared to value pragmatism and political adroitness. The longevity of the chief administrator, and his familiarity with the changing scene of human service programs in Missouri, obviously has been helpful in positioning and protecting the division.

The move from being a part of the social welfare service (where offender programs tended to be given low visibility and priority) to a structure permitting more direct contact with the legisla-

2. Robert P. Biller, "Public Policy and Public Administration," Korea Observer, Autumn 1978.
3. Robert Blake and Jane Mouton, The Managerial Grid, Houston, Gulf, 1964.
4. Rensis Likert, New Patterns of Management, New York, McGraw-Hill, 1961.

ture and the governor's office seemed successful. There remained considerable ambiguity in linkages between the division head and other units in the new agency, particularly the parole board, but steps were being taken to maintain a strong power base and encourage positive, reciprocal relationships.

The evolution of an understandable "character" in division management is suggestive of the institution-building concepts of Philip Selznick.[5] The efforts of key administrators to design a value-based mission and to define and protect the doctrines needed to implement that mission seem especially pertinent. So also does the importance given to outside relationships with powerful forces in the environment, in this case through the Community Action Boards. The development of a strong, internal management system, emphasizing resource acquisition, adaptation of structure to doctrine (the dispersed network of regional and district offices) and programs consonant with mission (the many-faceted efforts to define and meet offender needs) all seem consistent with the notion of the organization as social institution —capable of survival under difficult circumstances, but focused primarily on what it contributes rather than its own perpetuation.

State Administration of Probation and Parole

Missouri officials are strong advocates of a unified state probation and parole service. They point to the fragmentation and lack of consistency that characterize locally managed systems. They favor administration through the executive branch of government, referring to the "my judge" syndrome as a reflection of the idiosyncratic management that can result from judicial oversight of probation services.

The accomplishments of the Missouri system do seem to illustrate the strengths of state administration. The population base involved in a medium-sized jurisdiction such as Missouri appears optimal for state control. There are clear advantages in a unified approach adapted to a single philosophy and implemented uniformly in all parts of the state. For example, the use of a client analysis scale coupled with standardized intake procedures insures regularity of service delivery. Throughout the state, minimum supervision means 1,000-man caseloads and reporting by mail only. Procedures for selecting, training, and supervising volunteers can be improved and refined uniformly. Supervision of probationers and parolees can be merged in a state system, with attendant economies of scale.

5. Philip Selznick, Leadership in Administration, New York, Harper and Row, 1957.

At the same time, Missouri illustrates elements of decentralization and flexibility at the point of service delivery, an effective strategy when combined with centralization. Significant amounts of discretion and authority are delegated to the local level, especially in the operations of the CABs. The result is what organization theorists have called a "matrix system," one in which certain centrally managed functions insure essential stability and goal consensus, while operating programs are encouraged to adapt creatively to the problems and opportunities they encounter.

Matrix organizations typically experience tensions, and sometimes dysfunctions, in attempting to reconcile system-wide imperatives with the needs and aspirations of individual units and demographically different areas. Sub-units and geographically distant offices often seem perverse or "out of control" to those at headquarters. In similar fashion, those who work in field locations are apt to see central office mandates as arbitrary, bureaucratic, and out of touch with reality.

The Missouri Division of Probation and Parole has learned how to deal with these tensions in inventive and effective ways. The chief administrator and his top management team show empathy for both headquarters and the field. Key actors have learned to put themselves in one another's shoes. In fact, a number of policies and procedures have evolved to encourage management and staff (and volunteer leaders as well) to shift roles, responsibilities, and perspectives from time to time. The concept of linking-pin administrators, tying the district offices to the region and the regions to central office, was adopted with this need in mind.

Probation and parole systems such as Missouri show what can be done on a state-wide basis and offer persuasive rebuttal to those who argue that probation and parole have lost their utility and their ability to be adaptive, self-improving entities. Faced with stringent budget limitations, and after fifteen years in a job that might seem to encourage "burn-out," division chief Hughes expresses the mood of his agency in saying, "We live in optimism." Contrary to the orientations many community correctional programs have adopted in response to fiscal cuts and challenges to credibility, the logo of the Missouri division declares that it is "People Helping People." As Hughes asserts, "the golden age of probation and parole may be just ahead."

CONTRA COSTA COUNTY (CALIFORNIA) PROBATION DEPARTMENT: A Cost-Conscious Agency Attuned to its Setting

I. An Overview

The Contra Costa County Probation Department is a striking example of a local agency that manages to stay attuned to community priorities while pursuing cost-effective strategies. A combined juvenile and adult probation agency, it is responsible to the judiciary, but is funded with state and local monies by an elected five-member county board of supervisors. In addition to presentence investigations and supervision of probationers, the department operates a juvenile hall, a girls' treatment center, a boys' treatment center, and a boys' ranch. It also contracts for spaces in a day-school treatment program in an adjacent county.

The department has a total staff of 389, including part-time workers. Of these, 141 are deputy probation officers. In 1982-83, the department's budget probably will exceed 16 million dollars.

During times when other agencies are looking inward and agonizing over internal cuts, the Contra Costa department is becoming more visible to the communities it serves and more assertive in its mission. Probation in Contra Costa County, like every other government function in post-Proposition 13 California, is severely challenged by budget problems; but it is looking outward for community support as it trims and otherwise adjusts internal operations to the new fiscal climate. It is also forging strong links to other county probation departments to strengthen the position of probation state-wide and protect it from capricious legislation.

Among the noteworthy features of this department are:

- leadership and active participation in a county-wide effort to reduce runaways, prevent delinquency, and halt child abuse (The Year of the Family);
- a budget packaging and selling process that explicitly ties the department's mission to dollar targets and lets everyone know the likely impacts of specific cuts;
- a training program that begins with needs assessment by staff committees and results in over 50 different courses for members of the Contra Costa department and some smaller departments in the state;

- a management style that is politically astute, open to change, and encouraging of staff input, while at the same time dealing realistically with financial limitations.

II. Some Prominent Features

A Sense of Community Priorities

Teenage runaways had become a nagging problem throughout the county, affecting the rich as well as the poor. Children were found sleeping in highway culverts or hiding out with sympathetic friends, but police could do little about these juveniles as they had committed no offense (running away is no longer a matter for official intervention in California).

Media publicity and strong feelings in the community led local leaders, including Chief Probation Officer Gerald S. Buck, to believe that something must be done. In January 1980 a public hearing was sponsored by the county supervisors and the Conference of Mayors. Twenty-six agencies and six parents gave testimony.

It was at this meeting that the problem began to be seen as one that might respond to efforts to support and strengthen the family. Long an advocate of primary prevention, Jerry Buck joined with a core group --including local social service and mental health departments, a consortium of youth-serving agencies, and several citizens advisory groups-- to sponsor a Year of the Family.

Many community groups have since joined the effort, which is taking on the flavor of a local movement. A business and industry committee has been formed to look into the possibilities for child care at work places, youth employment opportunities, job sharing, and employee family activities. Community leaders, including county supervisors, are making public appearances, as well as contributing funds. Through his networking activities at the state level, Jerry Buck has obtained the interest and participation of the California Youth Authority Department. The state agency, encouraged by the project's potential for delinquency prevention, has donated staff time and is preparing to aid other local jurisdictions in replicating the project.

One member of the county Delinquency Prevention Commission notes that the Year of the Family "has the potential of unleashing a tremendous amount of energy by citizens of the whole county to really focus on the family and how we can strengthen it."

Meanwhile, the activity and interest that this campaign already has stimulated, and the leadership role that probation has played, have combined to aid the probation department in a number of ways. Being at the center of such a local initiative cannot help but lend credibility to the department and its core mission as a prevention as well as treatment agency. The encouragement and support given to local service agencies may help probation by strengthening and increasing the resources available to offenders in the community. (A few years ago CRMT was rejected because there were too few resources to make it work; resource brokerage now may become a more viable approach.)

Costs of participation in the Year of the Family have been very low, as departmental efforts have been directed primarily toward encouraging private sector involvement.

A Reasoned Approach to Cost Cutting

The Contra Costa probation chief has described his approach to dealing with cutbacks as "pruning the organization like a tree, taking out weaker branches to make the central ones stronger." But how does one decide which branches to take out?

In the first year of fiscal cutbacks, the department used an elaborate priority-setting exercise to get a feel for which programs were most vital to agency mission and which could be cut back if cuts became necessary. The first step was to sort the department's many programs and subprograms into eight different categories that would help to determine priority order. Sorting involved a determination of which programs were mandated and which were not; which were necessary to the provision of mandated services; and which were supplemental, experimental, or needed but not yet funded. Programs in each of these categories then were subjected to three different priority-setting methods involving the 17 members of the management team. (Line staff and judges were consulted separately to determine their priorities.)

In coping with diminished resources in this and subsequent years the department has had to sacrifice some non-mandated and less essential services. Since 1978 expenditures have been reduced through: elimination of collateral programs and services; closure of branch offices; increased workloads for both caseload carrying staff and management; general economies (including communications, transportation, services, and supplies); and efficiency measures, such as use of short PSI reports in appropriate cases.

The department continues to search for ways to improve mandated services and cut costs. Currently, staff are undergoing training in classification and differential case management sponsored by the National Institute of Corrections. It is hoped that more ob-

jective risk and needs assessment will improve service and make it more cost-effective.

The cuts the department had made or planned, however, were not large enough to work within the budget proposed by the county administrator for 1981-82. In preparing the budget for the whole county, the CAO had cut more from probation than the chief, his staff, and community supporters felt was wise or fair. To counter these proposed cuts, the department rallied to "sell" probation's need for a larger budget.

An Awareness of the Politics of the Budget

Only a handful of people were in the audience that July morning as the district attorney and the public defender presented their budget arguments to the finance committee, but as the time approached for probation to present its case, the chambers began to fill. The Children's Coalition of Youth Serving Agencies and the Juvenile Justice Commission had selected members to speak in behalf of the department, but the rest were there to show the supervisors that the voters cared. Some already had sent letters to members of the board.

The probation chief arrived with his division managers, all impeccably groomed and each prepared to answer any questions in his area of responsibility. Mr. Buck handed each board member a specially prepared 31-page report and began his presentation.

To an observer a number of things stood out. The chief and his staff had mastered their material. Each spoke clearly and to the point. The large graphs accompanying the chief's presentation were varied and eye-catching. (These were reproduced in the reports handed out to supervisors.) Each graph told a part of the budget story.

The main themes of the argument were well articulated: The recommended budget did not give probation a fair share, as compared with allocations to the rest of the justice system. If the budget were accepted, the necessary cuts in probation would have specific, undesirable consequences for the courts, the community, and clients served. As Buck explains, "You can't deal with a system by protecting only some parts of it. All the links in a chain must be strong for it to do its job well."

Following the department's presentation, representatives from the Children's Coalition and the Juvenile Justice Commission added their pleas for additional probation funding. Their presentations also were concise and to the point.

When the board of supervisors adopted the county budget, monies were found to fund those programs that earlier had been slated to be cut.

Selling the budget, however, is not a one-day affair. Preparing a thoughtful budget submission takes time. By February (prior to the July hearings) division managers in Contra Costa County have met with their staffs to review and set priorities. The CAO has asked each county department to present alternate budgets (often at 98%, 103%, and 108% of their current funding). For fiscal 1982-83 probation was asked to submit at the 108% and 103% levels. Both a program budget and a line item budget are prepared.

In addition, for the 1982-83 budget, Buck has prepared a summary showing the likely impacts of funding at each proposed level -- that is, at 103% and at 108%, which programs will have to be cut, what the net cost savings will be, how many positions will be affected, what the layoff potential is, and what service impacts the cuts will have.

Citizen input is important at this point. Buck gives copies of his program impact summary to members of the Juvenile Justice Commission at their March meeting. By sharing his budget with the Commission, the probation chief acknowledges the importance of this constituency in helping to defend his department's needs. A state-mandated independent body of citizens representing all parts of the county and a range of perspectives, this Commission nonetheless tends to support the departmental budget and to let its views be known to the board of supervisors.

Presenting his budget before the Commission also gives the chief and his staff some practice in answering questions that may come up later before the finance committee of the board of supervisors. Such practice sessions before a concerned but supportive group are helpful in orchestrating an effective presentation.

Packaging the budget effectively is part of the job. Buck and his staff do their calculations with a hand calculator, taking raw statistical data compiled by each division and turning it into an impressive budget report. Charts in one budget package included: a "pie" sliced to show the proportion of the budget to be allocated to each service or function; bar graphs showing workloads; line graphs showing workload needs and staff available; a visual depiction of probation's role in the justice system; a graph comparing the allocation of funds to probation with those proposed for other justice system components; various charts depicting comparative correctional costs per client, service unit costs, workload standards, consequences of the proposed budget, and departmental revenues.

In addition to charts and graphs, the budget package contains brief statements of highlights of the probation workload and the impacts of cuts already made or proposed.

A Professional Approach to Training

Ed Jimison, Contra Costa County probation's training officer, is known throughout the country for the training institutes he has led. At home, Jimison has put together an impressive training package under California's statewide arrangement for funding the development of standards and training for local corrections and probation systems. (Under this arrangement, the state provides $425 per worker for a mandatory 40 hours of training per worker per year. The program is funded with traffic violation monies and is monitored by the State Board of Corrections.)

In keeping with department policy that staff will participate in decision-making, Jimison has organized a training committee in each of the department's five divisions. These committees assess their divisions' training needs (an annual activity) and also suggest instructors.

The department's 1981-82 schedule of classes reflects the staff's involvement in their work and their desire to know more about their clientele. The schedule of 61 courses is organized into 14 parts: Abuse; Counseling; CPR/First Aid; Drugs/Alcohol; Gangs; Fiscal; Law; Management of Assaultive Behavior; Mental Health; Peace Officer Training; Supervisory Management; Work Management Information; Writing; and miscellaneous (driver training, Spanish, etc.). Some classes are mandatory for some staff (e.g., CPR for institutional staff) or geared toward a particular division (Counseling the Older Adult for adult field staff), but many are open to all.

The training officer finds the best instructors he can, wherever they are located --e.g., departmental staff with special skills; management experts from business and industry; private practitioners in law, medicine, or social work; staff from other agencies; or authors whose work seems particularly relevant.

Sometimes, Jimison admits, a mistake is made and a course "bombs." An important part of putting together a training program and keeping it healthy and productive is evaluation. Feedback on every course is essential to success, Jimison feels.

When there has not been enough state money for training, Jimison has sought funds from a variety of sources, including continuing education funds and the local community college district. Sometimes business or industry, as a public service, will offer one

of their experts on loan to provide a particular type of training.

The size of the Contra Costa probation agency and its extensive experience with training puts it in a position to provide training to staff from smaller counties. This arrangement gives the smaller counties a variety of training they could not afford to provide themselves, and it provides the Contra Costa department with revenues to help pay for the courses.

The importance of good training in times of fiscal constraints can be seen in the increased efficiency of staff in their jobs. But the role training plays in renewing staff commitment and motivation seems equally important. When staff are encouraged to determine their own training needs, their commitment to learning as well as to their jobs seems to increase.

A Management Style Matched to Current Needs

Contra Costa County probation staff are quick to point out that the department does not operate in a vacuum. If county management were not basically sound, the department would have a much rougher time. Still, there is a strong feeling that probation management, under Buck and under his predecessor, has been well suited to the needs of the courts, the local communities, and the clients served.

The management style of the present chief is particularly suited to the period of financial uncertainty. Communication clearly is an important component of that style.

There is a well-articulated mission. Everyone knows the philosophy of the department and where its priorities lie.

Staff are involved in setting objectives and determining needs. One middle manager, in describing a change he would like to implement, noted that "my staff aren't ready for it yet --we'll have to sell them on the idea before we can go ahead." It is a pervasive management view that staff are the ones who implement a program and carry it to fruition. If they are not committed to it, they will not do it well.

Middle managers are expected to have good judgment, are encouraged to do the job well, and are praised by the chief to others. ("I've given that task to Carl; he'll be particularly good at that.")

Noting that he came into a department that already had skilled people, Buck says that "consultative, participative management" has worked well in Contra Costa County. Though the chief tries

to keep in close personal contact with the nearly 400 staff at eleven work sites, his managers run the day-to-day operation of the department. Their competence gives Buck the freedom and flexibility to devote a great deal of time and energy to the tasks of building networks.

Network building involves the chief in such efforts as explaining probation to the community and supporting joint efforts of county probation departments at the state level. Well aware of the potential impact of state laws on his department, Buck helps the State Probation Chiefs' Association to monitor proposed legislation. On occasion he will draft an analysis of the potential impact of a pending bill or a voter initiative slated for the ballot.

In all his activities as chief, Buck displays an unusual talent for summarizing issues, separating what is important from what is not, and putting each matter in clear perspective. By keeping attuned to the political climate at both county and state levels, he largely avoids surprise in these volatile arenas. Through the variety of networks in which he participates, he also is able to channel information, get feedback, and react to events in a timely, and therefore effective, manner.

County Administration of Probation

California probation as a whole seems appropriately administered as a county service. It is a large and populous state, with great variety among its regions. Los Angeles operates the largest probation system in the world, yet some rural counties run departments with only two or three probation officers. Local responsibility for probation allows departments to tailor their missions and methods quite closely to county needs and problems. The resulting congruence between services provided and locally perceived needs for them in some jurisdictions has led to an unusual degree of public support for probation.

Jerry Buck offers good arguments for local administration, and generally feels comfortable with the arrangement. Certainly it would be more difficult to gauge and remain responsive to community priorities if the locus of administrative action were in the state capitol. The Year of the Family, for example, might lose some of its energy as a state-level initiative.

Around the state there are varied opinions on the matter, but following the local tax-cut initiative in 1978 there seemed to be more fear that the state would "take over" probation than hopeful anticipation of increased state help. Advocacy of local control has weakened to some extent as time wears on. But alternatives generally are framed in terms of additional fiscal or other support from the state to the counties. Some even believe that the state should divest itself of the parole function, shifting both the job and the funds to do it to the local level.

The probation chief in Fresno County, Jim Rowland, argues strongly for the county-administered model of probation services. A county system, he notes, avoids that additional layer of bureaucracy and the added costs associated with it. Policy-makers in state systems are less accessible to their constituents, he observes, and less inclined toward the interagency networking so important to a community-based human service such as probation. Also, the consistency said to be gained by statewide application of policy actually imposes a burden on small or atypical jurisdictions, which may not have the resources or even the need for certain kinds of services. And the state system places probation in the highly political executive branch, rather than connecting it with the judicial component of the justice system, where Rowland and many of his colleagues believe probation logically belongs.

A primary advantage of retaining probation as a county-operated system, says Rowland, is the ability of local citizens to influence the priorities and the funding of the justice system. The county, in most cases, is the most responsive government entity, and county administration allows citizens the opportunity to define and meet its own needs. This kind of relationship between a public service and its community residents is very evident in Contra Costa County, as well as in Fresno where Jim Rowland is chief.

PHILADELPHIA ADULT PROBATION DEPARTMENT: An Innovative, Experimental Approach to Organization Development and Capacity Building

I. An Overview

The Philadelphia Department of Probation and Parole continues to experiment with alternate ways of structuring agency operations to achieve the multiple goals of enhanced productivity, improved service to offenders, and stronger relationships with the environment. The approach clearly is one of "organizational learning" --a strategy is designed, put in place, then modified through experience. The emphasis is on building a capacity to forecast, plan, and adapt effectively to continually changing conditions.

To facilitate this process, the Philadelphia management team obtained a grant from the National Institute of Corrections to

undertake a comprehensive organizational assessment. This two-year study, aided by the Wharton School of Business Administration, produced a clearer understanding of agency mission and helped to ground the department on some "basic principles of sound management." It also produced an idealized design of the department and a strategic planning capability that can be drawn on to work toward any or all aspects of the design. The recommendations and plans that emerged from that study are still being implemented, with major activity in the following areas:

- Development of a comprehensive mission statement, with objectives and action plans for each division and function of the department;
- Involvement of staff and critical outsiders in long-range planning;
- Experimentation with departmental reorganization, (including both functional specialization and centralization);
- Client service innovations (including community resource management teams and a multi-unit "cluster" concept);
- Interjurisdictional sharing of training responsibilities.

Administrative placement of the Adult Probation Department in Philadelphia is within the Court of Common Pleas. As a department within a city/county jurisdiction, probation also serves the municipal court and accepts parolees from the county jails. The department chief is appointed by the President Judge, and reports to that judge and to the court administrator. Of the total complement of 344 employees, about 220 are probation officers. The jurisdiction served is a county of about two million residents.

II. Some Prominent Features

A Coherent Definition of Mission

The director of the Philadelphia department views the definition of mission as an ongoing process requiring a great deal of effort and resulting in a product unique to the agency in which it is developed.

Several years ago, staff task forces formed to address departmental problems noted, among other organizational weaknesses, a lack

of shared goals throughout the department. An outside consultant subsequently hired to aid the process of organizational assessment also reported that the department lacked a clear consensus on questions of mission.

A National Institute of Corrections grant was used to support the initial phases of organizational assessment and development. One segment of this three-part effort focused on the creation of a sense of direction or mission. (The other two dealt with organizational design issues and personnel issues.)

Four workshops were held to begin the process of defining mission. Prior to the first workshop, key "stakeholders" inside and outside the department were identified. The first session brought together department managers down to the level of division director and external stakeholders, primarily representatives of court administration. The second and third workshops involved diagonal slices of department personnel. The fourth session, which brought together representatives of the first three, was held to synthesize the results of the previous workshops, to develop a shared mission statement, and to design a plan for change that would reflect that mission.

Building on this series of workshops and their products, a Strategic Planning Group was charged with designing a planning process capable of generating three- to five-year plans for the department. Also in support of the new understanding of mission was a six-month middle-management training program, which the department hopes to institutionalize as an ongoing function.

A Participative Approach to Planning

After years of more conventional management, the Philadelphia Adult Probation Department is seeking to develop a long-term planning capacity involving a network of individuals, organizations, and groups within and outside the department. Known as participative planning, this approach is designed to build incrementally a fluid network of people to carry out the continuous and permanent planning function. The planning network is considered part of the department's organizational structure.

This planning approach allows for non-disruptive flexibility in the use of human and material resources, within and outside the department. Staff are invited to participate in a particular project; then, when the project is completed, they go back full-time to their regular work responsibilities. The network thus expands and contracts in line with specific goals and available

resources. The approach also is designed to broaden the base of staff with a departmental perspective and commitment.

Other benefits of the participative planning approach include:

- Optimal use of staff expertise --staff act as internal consultants to the department, contributing in areas outside the limits of their job descriptions, thus conserving scarce resources;
- Increased motivation, job satisfaction, and productivity associated with team building and team work;
- Opportunities for staff to learn new skills and to understand other perspectives through linkages with people in different jobs, divisions, and departments;
- Good rapport with important outsiders, and a mutual understanding of the interconnectedness of various agencies; increased cooperation through a focus on system-wide planning instead of planning only for the agency in which the symptoms of a problem happen to show up.

Experiments with Departmental Reorganization

Concurrent with the planning and goal-setting process, the department has made some organizational changes consistent with its planned direction. The department's approach to reorganization is both bold and tentative. Some exciting plans are on the drawing board, and others are partially in place, but none seems to have been adopted with the idea that it was the "last word" on the subject. Management is open to feedback from staff and from outside evaluators, and willing to consider other options or alterations to the existing plan.

The most dramatic aspect of the reorganization has been the consolidation of previously decentralized field units in one central location. Centralization brought all but four of the 22 district offices together under one roof, conveniently located adjacent to the courts in the center of the city. The director felt that, with more face-to-face interaction, the department's divisions and units would begin to work more as a team.

A number of converging forces led to the specialization of certain departmental functions and their reorganization into separate divisions. For example, there was some dissatisfaction with procedures used to link probationers with their field service units. This was a clerical task, involving paper processing and notification of offenders to report, and there tended to be a lapse of some time before a client was seen by a field officer.

To provide earlier assessment of client needs, a separate intake unit was created under a division director and staffed by probation officers with limited clerical support. Classification and the development of supervision plans thus could occur soon after a client left the court room. In order to free a director to manage the new intake division, it was necessary to combine other departmental functions. Field services and treatment services (drug, alcohol, employment, etc.), for example, were placed under a single director, although presentence investigations continued to be located in a separate division.

There were some benefits to the separate intake unit, but the arrangement eventually was judged to be not cost-effective. Field officers were relieved of the task of developing treatment plans, since the offender arrived with a plan articulated if not already partially in place. But intake officers found themselves increasingly burdened with clerical tasks, and the plan now is to return the intake function to clerical workers. Responsibility for presentence investigations also may be returned to the supervising officer, whose established contacts in the community, it is believed, provide an edge in gathering information for presentence reports.

An enforcement unit also has been established to assist in the detection and apprehension of clients who violate the conditions of their probation. Officers in this unit monitor arrest notices to identify current probationers, then notify the supervising officer involved within 24 hours of the arrest. The unit provides out-of-town services for 800 cases under the Interstate Compact and coordinates all detainer hearings for the department. Specialization of the enforcement function is designed to increase efficiency and to allow field officers to concentrate on service delivery.

Philadelphia also has adopted the risk/needs classification system as pioneered by Wisconsin and elaborated by the National Institute of Corrections. Staff have received NIC training at the academy in Boulder, Colorado, and the entire case management system is now being implemented. The classification and case management system addresses workload allocation, personnel structure, decision-making processes, channels of communication, and

the processing of paperwork, in addition to offender risk and needs assessment. A comprehensive information system is developed, tying the department's resources directly to the numbers and kinds of offenders it serves. In the process, both goals and methods of achieving them may change, so the department may undergo further reorganization in the months ahead.

Client Service Innovations

Several innovations in service delivery have been implemented recently in Philadelphia. The multi-unit cluster concept was designed to enable the department to deal with increasing workloads. Three or four unit "clusters" are organized to serve a single geographic area and officers and supervisors in the different units work closely together. Cases with special problems or requiring intensive supervision are concentrated in one unit, allowing the other units to take on larger caseloads of clients needing less attention.

Community resource management teams are operating in five of the department's twenty field service units at this time. In these units, staff teams (supervisor, five officers, and two support staff) serve pooled caseloads in geographically defined communities. The relationship between the offender and the CRMT unit begins with assessment of normative needs ("survival" needs such as jobs, education, drug treatment), which are met primarily through brokerage of services from community-based agencies.

Although formal evaluation has yet to be completed in Philadelphia, research elsewhere has shown that various aspects of the CRMT approach do have cost-benefits. Needs assessment surfaces from 30 to 40% of the caseload who are not in need of service (these are "banked" and support staff assume responsibility for their tracking and monitoring). By developing behavioral objectives for clients and detailed plans for meeting them, CRMT can inject considerable accountability into the process for both probationers and probation officers. A "master calendar" maintained by support staff accounts not only for client progress, but for all team member assignments and their completion dates. Pooling caseloads also permits the specialization of tasks (e.g., one officer handles all court appearances for the day, while another takes on all scheduled and walk-in client appearances at the office).

CRMT draws probation officers into resource development and offender advocacy rather than direct provision of treatment services. Two concepts are central to this approach to service delivery: wholesaling of service and specialization of resource

development efforts. Wholesaling means that pooled cases are analyzed for types of need (e.g., ten people need vocational training, four could take jobs as construction laborers, and seven have drug abuse problems), then officers try to place groups of probationers in programs or with employers rather than concentrating costly time and effort on a single individual.

Specialization in resource development means that officers will take responsibility for locating and creating opportunities for offenders in a particular service area. The social service network is too large and changeable for one officer to cover the whole spectrum, and specialization also gives the officer the opportunity to build personal relationships with service providers.

Interagency Cooperation in Service Delivery

Two major interagency and interjurisdictional strategies are in use in Philadelphia, one focused on local service delivery, the other on regional sharing of training resources and responsibilities.

The social services "consortium," developed in connection with the CRMT approach, is an interagency agreement to cooperate in serving what tends to be a common set of clients. The consortium is governed by a set of by-laws and a signed agreement to facilitate the referral of clients for service by member agencies.

This interagency association has both formalized and personalized the referral process. The structured side of the process includes an interagency referral form, which is carried by the client to the service-providing agency, then mailed back to the referral source with information on case disposition. The personal emphasis is achieved by encouraging staff to form first-name relationships with individuals in other agencies, which tends to make referral easier and more successful.

Creating the consortium can be a delicate matter. In one Philadelphia office, the consortium was initiated by the unit supervisor, who invited the top managers of four of the larger social service agencies to a planning meeting concerned with the coordination of services. This group then agreed to serve as a steering committee to create the consortium. They sponsored a session to which were invited a larger group of social service agency representatives, and the process grew from there.

The Delaware Valley Training Consortium is a cooperative effort involving several jurisdictions operating probation and parole services in the region. Several county probation departments in

New Jersey and Pennsylvania, the state probation agency in Delaware, and federal and state agencies located in the same geographic area have banded together to plan for joint training of probation and parole professionals. One of their early emphases has been on training in employment skills development and job placement. Another focuses on training in risk and needs assessment. Staff of the Philadelphia probation department also have participated in stress management training and in a session on probation and parole law.

The Philadelphia department does have its own small training unit (the head of the unit represents the department in the consortium), and basic training is provided in-house. Existence of the Training Consortium, however, has added an important dimension at a time when staff training budgets everywhere are being cut. Though still in its formative stages, this innovative attempt to deal with fiscal shortages by pooling information, skills, programs, personnel, and other scarce training resources holds promise as a model for other areas of the country.

Probation as a Local Agency Responsible to the Judiciary

Proponents of the placement of probation within the judiciary note the close ties of the agency to the courts, historically and in mission, and the logic that sees probation primarily as the helping and enforcing arm of the court in its work with offenders.

The Philadelphia probation chief, Louis Aytch, favors the arrangement because it "makes sense." The probation officer ultimately is accountable to judges who assign offenders to probation, so administrative reporting to the court, he believes, is appropriate.

From a political perspective, Aytch adds, judges wield considerable power in the fiscal arena, and this enables them to negotiate budget items for probation that the probation chief might not receive if directly responsible to a city or county administrator.

State standards also have been helpful in a time of fiscal limits. Not only do they serve as a guide to staffing, training, and programming for the department; they also are helpful in developing and defending the probation budget. The fact that the department will lose state grant aid if it does not meet standards of the Pennsylvania Board of Probation and Parole is a strong incentive to maintain services at higher levels than otherwise might occur in an era of fiscal constraints.

COMMONALITIES AMONG JURISDICTIONS: A SUMMARY

Even three such diverse jurisdictions as Philadelphia, Contra Costa County, and Missouri cannot reflect the great variety in strategies probation agencies throughout the country have adopted to deal with fiscal problems.[6] What these case studies can do is to highlight some commonalities among different systems that seem related to effective management under conditions of fiscal scarcity.

The following are major characteristics of the three systems described in this chapter:

- A participative management style —including regular staff input to planning and decision-making and two-way communication of information, ideas, and concerns;
- A heavy emphasis on networking or constituency-building that is an outgrowth of staff involvement (internal team-building first and then through staff to the outside world);
- A sharing of credit with staff and critical outsiders —top managers play down their personal role and give lots of credit to those who do the work;
- An understanding of the time, energy, and resources that must be devoted to long-range planning and the articulation of values and mission;
- Effective use of outside consultants to "hold up a mirror" to themselves, and a blending of internal resources and outside assistance in building the capacity to plan and carry out plans.

6. Other strategies used in departments throughout the country are described in Nora Harlow and E. Kim Nelson, Management Strategies for Probation in an Era of Limits, Washington, D.C., National Institute of Corrections, 1982.

- A contingent approach to organization and management that takes into account changing needs and conditions and tailors solutions in place through an ongoing process of organizational learning.

The various strategies illustrated in the three case studies are listed in Table 1. The failure to list a particular strategy does not mean that the jurisdiction makes no use of it, but simply that, for one reason or another, it was not highlighted in the case study. The table is designed to demonstrate the variety of internal and external strategies employed in a single jurisdiction, and to summarize the case studies in the same terms that were used in Chapter 1.

TABLE 1

STRATEGIES ILLUSTRATED IN CASE STUDIES

		MISSOURI	CONTRA COSTA	PHILADELPHIA
INTERNAL	Organizational Redesign	regional volunteer "ownership"	redirected service emphasis; a trimmer organization	functional specialization/centralization
	Caseload Management	client analysis scale differential caseloads	classification differential caseloads	classification differential caseloads
	Measuring Cost & Performance	analysis of work elements	cost analysis comparative cost analysis	comprehensive organizational assessment
	Human Resource Development	consensus on mission team planning	training staff involvement in decisions	tri-state training participative planning
EXTERNAL	Mobilizing the Community	Community Action Boards	Juvenile Justice Commission Juvenile Hall Auxiliary	CRMT community development
	Interagency Cooperation	richly developed, varies by district	contracting Year of the Family	social services consortium joint training
	Protection of Budget	fundraising by CABs	packaging budget presentation citizen involvement	use of state standards to justify budget
	Public Education & Information	newsletters advertising for volunteers	use of local media	volunteer recruitment/work with victim groups

CHAPTER 3: APPLICATIONS

One of the most common, and ultimately most costly, administrative mistakes in times of fiscal crisis is the tendency to abandon longer and broader perspectives for a focus on the immediate and close-in situation. The urgency of the difficulties at hand seems to disallow the luxury of long-range planning or thoughtful consideration of the issues involved. Managers are reduced to "putting out fires," and feel fortunate if only the flames are slow to spread.

Yet the most successful managers, those who retain some degree of control over events and circumstances affecting them, seem clearly to be those who do take a longer and broader view. The investment of time and resources in developing an overall strategy with goals and objectives, priorities and plans may pay off in better decisions more easily made and a more coherent approach to organizational problems.

Whether the product is a comprehensive five-year plan (as in Missouri), a clear set of goals and priorities for the allocation of shrinking resources (as in Contra Costa County), or an ideal design for organization development (as in Philadelphia), the process should help to ground decision-making on core values, consensual understandings of mission, and empirical demonstrations of capacities and accomplishments.

Such basic planning focuses organizational attention on some fundamental questions. Who are we? What are we trying to do? What does our information tell us we are doing? What impacts do we seem to have on the problems we are trying to solve? How do we look to others? How do we fit into the larger scheme of things? In our own eyes, and in the eyes of others, are we doing a good job?

As they answer these questions, agency decision-makers must consider other agencies, funding bodies, citizens groups and advisory boards, for the organization does not operate in a social or political vacuum. It may be helpful to keep in mind the image of the organizational force field --that diverse collection of driving and restraining forces in the environment that aid or impede a manager's efforts to implement any strategies impacting others. These external actors or circumstances (which at different times and on different issues may be variously "driving" and "restraining") also will influence what probation can be and do, how objectives and priorities must be set --in short, the mission of the agency and its operational domain.

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At the same time, agency decision-makers must keep in mind the special qualities that give the organization its coherence and integrity --its history and traditions, the capabilities of its members, their characteristic styles of problem-solving and communication. The self-study process outlined below requires some sense of organizational individuality. It must start with an assumption of discrete identity; it should end with a stronger and more understandable organizational character.

Let us look more closely at some of the questions that probation managers will need to consider as they begin to plan for the future of their agencies in an era of fiscal limits.

WHO ARE WE, AND WHAT ARE WE TRYING TO DO?

When resources are plentiful and organizations are expanding, there may be competition with other agencies, but seldom does this lead to a win-lose showdown. As resources become scarce, however, domain conflicts do take on a "zero-sum" character. There are winners and losers.

In such a situation the advantage tends to go to agencies that possess and convey a clear, distinctive sense of mission. They know where to stand their ground because they have made a strong commitment to values and purposes. This sense of identity is shared from the bottom of the organization to the top, and it is understood and acknowledged by outsiders who control or influence the flow of resources.

Philip Selznick called this sense of mission or identity "organizational character."[1] Somewhat paradoxically, standing for something rather than being preoccupied with survival (and being all things to all people) may be the most basic requirement for survival in a time when the role of government is being questioned and its programs cut back.

Faced with sharp challenges from elected officials, budget administrators, and citizen groups, probation managers may be tempted to camouflage their operations by identifying with seemingly stronger allies. They may portray themselves as a service to the courts and thus a part of the (essential) judicial process. They may depict their role as protecting the community from crime and thus as part of the (also essential) law enforcement team. Probation administrators cannot be expected to forego such strategic maneuvers in turbulent times, but they should pay attention to the long-run consequences of "survival" adaptations.

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1. Philip Selznick, Leadership in Administration, New York, Harper and Row, 1957.

They must consider the ultimate place of probation within the larger institutional environment, for, as novelist Kurt Vonnegut points out, we tend to become what we pretend to be.

Administrators can begin the assessment of organizational character and role by answering the questions about mission posed below.

1. Is there a written policy statement that expresses the mission of the organization, what it stands for, and what it hopes to achieve?

   - Does this statement convey a distinctive mission? Are the tasks involved in achieving that mission better performed by the probation agency than by any other agency in the environment?
   - Does the statement of mission convey a sense of essentialness, a conviction that the public cannot afford for these tasks not to be performed?
   - Does the statement reflect a consensus among staff regarding the purposes of the organization, the roles they play, and the values underlying roles and purposes? Is the definition of mission a broadly participative ongoing activity involving staff at all levels?
   - Is the statement clear, simple, and consistent? Does it avoid bureaucratic terms and professional jargon?
   - Does the statement convey a strong concern for efficiency, for cost-conscious use of public resources? Does it also express a commitment to quality in services provided?
   - Is the mission statement backed up by written policies and procedures that define implementation strategies in clear and consistent ways?
   - Do policies and procedures incorporate provisions for flexibility and change, for what

Donald Schon has called "organizational learning?"[2]

Written statements reflecting value choices and conveying a "distinctive competence"[3] demonstrate that the agency has seriously addressed its own role and purpose. Stating these themes in a simple, clear, and consistent manner requires setting aside technical and self-serving considerations (what meets the needs of correctional workers)[4] and asking what the public needs and will support. When those questions have been answered, it may be possible to draft a mission statement that any intelligent person can understand.

2. Is the structure of the agency, and the formal arrangement of authority, roles, and programs, consistent with the mission statement?

- Do structural arrangements facilitate and encourage the accomplishment of mission rather than acting to obfuscate or impede its performance?

- Do informal relationships and communications within the agency also support the official mission, or do they promulgate views unfriendly to it —or simply ignore it?

- Is there an ongoing process (and a high priority attached to it) for adapting the internal structure and processes of the organization to its evolving conception of mission?

Sometimes official policy and actual operations seem to exist within completely different worlds. In an agency that has built a distinctive competence on particular values, however, the two will be consonant.[5] Probation agencies committed to a loosely

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2. Donald Schon, Beyond the Stable State, New York, W.W.Norton, 1971.
3. Philip Selznick, Leadership in Administration, New York, Harper and Row, 1957.
4. T.C. Esselstyn once suggested that "much that happens in corrections occurs primarily to meet the needs of correctional workers." (Paper presented to California Probation, Parole and Correctional Association annual meeting, 1979.)
5. Selznick describes how Sears retailing outlets grew out of an existing mail-order operation: "Opening up Sears stores was like bringing the catalogue to life." Selznick, Ibid., p. 55.

coupled, networking approach can hardly expect to implement it through a tightly held, centralized management structure. Agencies that focus narrowly on court services or a "sanctions only" mission may well design "bedrock" structures to implement them.

Most probation agencies will want to incorporate both flexibility and stability in their organizational structures, and to allow for ongoing adaptation to changing circumstances rather than relying on convulsive, episodic reorganizations. From overall mission to specific operating procedures, policy should be dynamic and evolving, not codified once and then allowed to become outdated.

3. Is the stated mission reflected in and promoted by the management of human resources?

- Does mission operate as a practical criterion in the selection and recruitment of personnel? Are new staff members selected on the basis of their potential for commitment to and effective implementation of that mission?

- Is there an ongoing program for the training and development of staff that "fits" the mission and is refined and adapted as the mission changes over time?

- Is there wide and genuine participation of staff at all levels in updating and redefining the policies of the agency, and in working out answers to implementation problems as they arise?

- Are incentives and rewards such as pay, promotion, recognition, and opportunity allocated so as to encourage active promotion of agency mission?

Site visits revealed a striking contrast between probation agencies in which values and goals are shared by staff and managers at all levels of the organization and those in which there are significant discrepancies. In one agency the failure to gain staff commitment at lower levels and in outlying offices led staff on occasion to undercut management with important outside power centers or simply to neglect to implement policies considered important by headquarters.

For the mission of the agency to find its way into the "life stream" of the organization (necessary if policy is to be im-

plemented) an effective personnel management system is essential. Recruitment, selection, and training must be tied closely to considerations of mission, and staff must be involved in the process of articulating goals and refining the means of achieving them.

4. Do critical outsiders (those who control the flow of resources and serve as gatekeepers of other systems) understand the mission of the department in roughly the same way as do insiders?

- Do outsiders see the department's mission and methods as distinctive, essential, and cost-effective?
- Does the probation mission fit well with the missions of related organizations? (e.g., law enforcement, courts, other human services)
- Does the agency have the "right" friends and opponents in the surrounding community? Do those who take value-based stands on issues involving the offender population react to the mission of the agency in a manner consistent with its own sense of identity?

Top administrators in one county probation department described a coherent mission and an impressive set of strategies for implementing that mission. The budget official in the county administrator's office, however, saw these conceptions of probation's role as a "fairy tale," an exercise in rhetoric by well-intentioned individuals who had "lost touch with reality." This contrasted sharply with the situation in a small, rural county in which life seemed more simple and straightforward. Here the values sponsored by the probation agency seemed a mirror image of those of the surrounding community.

The "task environment" of probation might be thought of as an ecological system in which agencies need to find a niche of their own --one that articulates with others in a productive way. To be viable in the long run, an organization must be viewed as legitimate, to have a "right" to exist and to perform the functions it claims for its own. The definition of mission thus is no academic exercise. Its credibility in critical outside relationships will determine whether the agency will continue to exist in its present form.

5. Does agency leadership place sufficient emphasis on the development and protection of organizational character?

- Do leaders develop policies that represent

clear value choices and commitments?

- Do they seek to infuse these values throughout the organization and in its task environment?
- Do they protect the integrity of the agency at critical times by maintaining policies central to its mission?
- Do they draw upon the resources of organization members and outside networks in the policy development process, thereby securing the commitment of a wide range of interests?

Leadership today must be diagnostically sensitive to diverse needs, both remaining loyal to central values and, at the same time, responding effectively and pragmatically to challenges to agency survival. The management task is to balance these seemingly contradictory imperatives. This dilemma is depicted vividly by a representative of a totally different management arena:

> "Given the fundamental mandate for excellence on the one hand and the break-even requirement on the other, we often feel like the lizard with eyes that operate independently of one another --one watching for the prey, the other for the predator."[6]

The unrelenting need for alternatives to incarceration has allowed probation to exist with blurred and even inconsistent missions. Leaders have learned to appreciate the uses of ambiguity. Today, however, the need for alternatives is balanced by the growing demand for clear-cut policies and demonstrable returns on investments of public funds. In this context, survival and value choices are becoming inseparable.

WHAT ARE WE ACTUALLY DOING, AND HOW WELL?

It is a significant accomplishment to build clarity and consensus around questions of mission and methods, but there may come a time when this is not enough. External and internal pressures for more and better data lead managers to consider ways of upgrading their systems for collecting, processing, and using information.

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6. Quote from speech by James Clark, San Francisco Chronicle, 28 May 1982.

Considering the lack of emphasis in the past on data --both to make decisions internally and to answer questions posed by outsiders-- the level of activity in this area today is quite impressive. Many departments are upgrading their classification and case management systems, adding structure and consistency to the handling of offenders, while gaining a new source of information about agency operations. The development and use of workload measures has provided insight into the resources needed to perform particular tasks, while also enabling managers to allocate resources wisely. Documenting departmental procedures (usually associated with development of a new management information system) often reveals points at which cost-effectiveness could be enhanced. And cost analyses of various kinds provide information useful in planning, budgeting, and budget defense.

Where should a probation manager begin in the effort to upgrade available information or put it to better use? Answers to the following kinds of questions may help to suggest the logical place to start.

1. What kinds of information do we now collect?

   - How much do we know about our client population? (e.g., numbers of probationers with particular kinds of need, proportions in high-risk categories, changes in average need or risk categories over time, actions taken or resources applied in individual cases, etc.)

   - Are programs and supervision levels well defined? How much is known about what happens to an offender assigned to a given status? (e.g., type and number of contacts, specific assistance offered, nature and level of resources available and used)

   - Are outcomes known? Have anticipated results of program participation been specified, and are individuals tracked to see how they fare? Are combinations of kinds of clients and kinds of programs considered in light of known outcomes?

   - Do we routinely collect information on unit or total program costs? Can we relate costs to outcome? Do we know which is the most cost-effective (or even the cheaper) alternative? Or even how much is spent on a given function?

   - Can we demonstrate how we fit into the social services or criminal justice system? Do we know where most of our referrals come from and where they go, how much time is devoted to helping the police, the schools, or the courts, what agency connections we most rely on and which rely most heavily on us? (This kind of information benefits from specificity --"head counts" may help in clarifying the department's significant relationships and illustrating its centrality to others.)

Answers to these kinds of question may suggest the need for more systematic offender classification and better defined case management modes, for routine analysis of program and offender characteristics to outcomes in statistical report formats, or for one-time or ongoing cost analysis to identify affordable program alternatives.

Most of the management information systems now being developed specifically for probation incorporate classification, case management, workload measures, and both individual reports (offender tracking for line-level decisions) and aggregate information for planning, policy-making, and accountability purposes.

Cost analysis and comparative cost analysis are regular components of program budgeting. Cost-effectiveness analysis (which requires the measurement of performance) is less common, but interest in this strategy is growing.

2. How reliable and useful is the information now collected?

   - Is classification consistent? Do all officers use the same criteria for making classification decisions? If risk/need instruments are used, do they tend to produce similar assignments, regardless of the officer making the decision? (If not, either upgrading the classification system or improving officer training may be indicated.)

   - Do we collect data we cannot use? Do classification data reflect those kinds of need that can be met by probation services? Do they suggest planning, programming, or case management decisions that fit our mission and our budget? (It may be wise to stop collecting some kinds of data, especially those that are costly to collect.)

- Are data current? If procedures have been documented, do written descriptions still reflect how things are done, or have policies and programs changed? Are offenders reclassified at intervals to keep statuses updated and resources effectively applied? Are comparative costs re-examined periodically, or is an option once rejected forever "off the list"? (Information that is outdated or unused is no better than no information at all.)

- Is information accessible in forms that meet decision-makers' needs? Do line staff receive timely reports on individuals in their caseloads, with the necessary data to support decisions in the order in which they are made? Do managers receive regular reports containing aggregate information of the kinds they need to plan and evaluate or to answer questions posed by outsiders? Does information get to the right place at the right time?

Answers to these kinds of question may suggest a comprehensive look at the agency's information system. One could start with an analysis of real information needs at all levels and of changes that might be made, easily and inexpensively, to enable better use of existing data. Generally there is plenty of information --the problem is putting it into formats in which it can be used and then moving it quickly and efficiently to the people who can use it.

3. What else would we like to know? What additional kinds of data would be useful? What else might we do with data we already have?

- Can we answer questions about departmental productivity? Do we know what our outputs are and can we measure them? Have operational objectives been specified for each program or function? Are they used to assess the cost-effectiveness of inputs and their allocation? Do we think in terms of productivity improvement? Do staff know what it means?

- Do we know which functions are under- or over-staffed? Is it clear where additional resources should be allocated if and when they become available? Do we know how much time and resources it should take to do the average PSI? How much is devoted to a single low-risk probationer? Are sufficient staff assigned to each function to handle the workload? If not, by exactly how many staff does that function come up short?

- Do we know how much could be saved by a particular change in programming or procedure? Do we have the data to find out? (e.g., documentation of each component or step involved, cost of each of these, comparative costs of new components, likely impacts on related functions and their costs, etc.) Is someone trained to perform these analyses? Is someone responsible for doing so?

Relatively few probation departments have sufficient information on such "economic" questions as productivity, comparative cost-effectiveness of alternatives, or optimal allocation of staff and other resources to different programs or functions. The field, in fact, is just now beginning to talk in these terms and to look for affordable ways of developing these kinds of information.

Some of the strategies that lend themselves to these kinds of analysis are workload budgeting and cost analysis (both described in Chapter 1). Information on productivity and cost-effectiveness requires that operational objectives and performance measures be defined for the activity under study. Information to aid allocation decisions may require the construction of workload measures. Use of these data for budgeting purposes will require detailed information on costs.

4. How much can we spend on the information function? And in what ways might we cut information costs?

- Do we really need that kind of information at that level of detail? (A recent nationwide demonstration effort to streamline the PSI process distinguished between information that is "nice to know" and information that is "need to know."[7]) Will it be used? Does the value gained by its use justify the added cost? To whom it is useful also may be important.

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7. American Justice Institute, Presentence Investigation Report Program, by Loren A. Beckley, Sacramento, Calif., 1981.

- Are there cheaper ways of getting it? Do others already collect it? Might we collect it in other ways? Can it be estimated or extrapolated from other data?

- Are we using the right information strategy? Is the strategy matched to the decision focus? (It is wasteful to use a more complex strategy than is necessary to answer the question at hand —if cost comparisons are the issue, don't waste money and time on cost-benefit analysis; if what you need are aggregate management reports, don't pay for the programming involved in a specially tailored management information system.)

Information is always a desirable thing to have, especially if it is of the kinds and in the forms that best fit present needs. But decisions to upgrade information systems must always include considerations of cost. The key is to define agency needs clearly, then investigate alternatives and their costs before selecting a particular information strategy. There will be trade-offs.

Information is a resource, but as a recent newspaper article pointed out, it is "a mighty peculiar resource" and one that bears special handling:

> Information is nondepletive. . . it grows as it is used. . . Information is consequently not scarce. On the contrary, as we all know from the conditions of our desks, information is in chronic surplus. What is scarce is time —time to refine the relevant information from the overwhelming supply of low-grade ore, time to create usable knowledge by combination, calculation, editing, analysis, and integration.[8]

HOW DO WE PRESENT OURSELVES TO OTHERS, AND HOW ARE WE SEEN?

How well the probation department presents itself to others, and how it is perceived as fitting into the larger scheme of things, will heavily determine how successful it can be. Image is particularly important when there is keen competition for scarce resources. Probation is frequently misunderstood by the community it serves, and it is sometimes treated like an unwanted stepchild by other parts of the criminal justice and human services systems. The educating, information sharing, and networking the department does thus must be of a degree and kind that will present a positive, productive image to key actors in the community, an image that will prompt them to support the probation department and its goals.

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8. Harlan Cleveland, "How leaders must change in the information age," Opinion and Commentary, Christian Science Monitor, 16 February 1982.

Before a department can project a clear, consistent image to others, there must be cohesiveness within. Administrators often forget that staff must buy in to the departmental image —to its mission, values, purposes, and roles— or the character of the department will seem incoherent and its presentation to others unconvincing and unclear. Where there is consensus, active staff involvement in communicating with outsiders multiplies management efforts in this area with good effect.

Key actors in the external environment can be divided into three general categories: those to whom the department is accountable; those with whom the department works; and those who could have an impact on what the department does and how it is done. Answers to the following questions may help in assessing how well probation is communicating its needs and concerns to these influential individuals, groups, and entities.

1. Do those to whom we are accountable understand and support what we are trying to do? Are there ways we could keep these key groups better informed?

- Do judges see us as an arm of the court or as an independent department? Do we see ourselves the same way?

- What does the court require of the department that will affect the budget priorities we set?

- Does the county board have favorites among the departments it funds? Is probation one of them? Is the board aware of probation's successes? Is there a particular board member who could become an advocate for probation? Is he or she well-informed and aware?

- Which members of the state legislature are most likely to support probation? Do we provide them and their staffs with specific, relevant information about probation's cost-effectiveness or impact on crime? (Legislative staff can be quite helpful and usually

are accessible even if the legislator is not.) Is the person who presents probation's budget (if other than the probation director) fully prepared to speak on our behalf?

- Does probation have a key liaison person who keeps track of board actions, legislation, and other government activities that might impact probation?

- Does the department give feedback to policy-making bodies on potential problems of proposed legislation? (Even county departments should do this --the California Probation's Chiefs Association holds periodic receptions for state legislators to keep communications open.)

- Which of our plans for the future require the approval of the court, the county board, or the state legislature? Will that approval be given? Would more or better information influence that outcome?

- Do these various external forces understand the relationships between community corrections and more costly institutional alternatives? Do we relate ourselves to the overcrowding issue, or are we narrowly focused on our own problems?

Answers to these kinds of questions should suggest ways in which probation can enhance its position with important decision-makers through networking and improved communications. Especially with elected policy-makers, the ability to demonstrate that probation's goals are congruent with those of the community influences attitudes and actions toward the department's financial and other needs.

2. Do those we work with, and whose cooperation we depend on, see probation as valuable to them and to the community at large?

- How well do others know us and the work we do? Do we understand the part they play in the overall system? What might we do to clarify our role and the ways it interfaces with others?

- Do others understand the potential impact on them of cutbacks in probation programs? Can

we document our impact in various service areas? Would it help to make these impacts known?

- Will any of our plans for the future negatively impact other agencies? If so, have we discussed our plans with them? Are we seen as considerate, concerned, and willing to help?

- Is there a leadership role probation could play in the local human services or justice system? In the community generally?

Probation has relationships with many different agencies in the public and private sector. In planning and in implementing plans to deal with fiscal problems, department chiefs must keep in mind the intricacies of the system and the mandated and traditional responsibilities of its various members. Cutting programs in one part of the system will have consequences for others. Understanding these interdependencies can help all to plan and prioritize with minimal damage to others.

Another key group includes colleagues in the probation field. The advantages of forming ties with probation administrators in other jurisdictions include reducing the sense of isolation, joining forces for legislative action, sharing information and ideas, and combining resources for joint training or other purposes.

- How well do we know the other probation administrators in the area (state, region, etc.)?

- Are their missions sufficiently compatible with our own so that we could work together? Do we have resources, skills, information, or other capacities which could profitably be shared?

- If pending legislative or other government action could affect us all, are we prepared to act in concert in a lobbying effort for maximum impact? Does the organizational capacity to do so exist?

3. How do we look to our larger publics --to citizens' commissions and advisory boards, the voting public, the press, organized labor, our clients and their families?

- Quasi-official or advisory citizens groups can help the department forge links to the larger community and to funding bodies. Is there a juvenile justice or probation commission? If so, how do we relate to them? If not, could one be established?

- Employee unions can tie management's hands in times of fiscal cutback. Are the unions in the area strong enough to affect probation's options? How far will they go to get what they want? In what areas will they give us support? At what cost?

- Almost all of what the general public knows about probation comes from the press. Could media coverage of probation be more favorable? How might we help? (e.g., press releases prepared by the department, tours of facilities for the press, personal contacts, interviews) Do we have a particularly interesting program that could be highlighted?

- Will publicity, even favorable to probation, negatively impact our relationship with the courts or funding body? Can we show those opposed that positive publicity is a necessary art of public education about probation? (Where turf considerations or jealousies have been a problem in the past, use of the press to publicize probation's accomplishments may require some sensitive preliminary groundwork.)

- How about our clients? Do they understand any cuts that must be made and how they will be affected? Do proposed cuts show respect for client needs? Are we holding onto some programs that do not serve clients well? (Client populations do vary, and the entire thrust of any department should reflect its particular clientele.)

Answers to questions about these groups should help point up ways in which links to the public can be forged or reinforced. For community-based services such as probation these diffuse external relationships can be vital, even though they are difficult to define clearly or probe.

MAINTAINING BALANCE: THE LEADERSHIP TASK

The questions outlined above are some of those asked at the outset of organizational analysis. The list is in no way complete, but is designed to stimulate thinking about such fundamental agency "resources" as a clear mission, useful information, and a reliable, supportive network of external groups and organizations.

As fiscal resources decline, these other aspects of the organizational environment seem to demand adjustments as well. Change in any one organizational variable, in fact, generally will require some alterations in others. With less money, for example, mission may have to be redefined. As mission changes, relationships to outsiders also will shift. Programming should be consistent with mission, so resource allocation and organizational structure may be modified to fit new objectives and goals. New leadership styles may be needed to move the agency into new territory. And any of these changes may further impact the level of fiscal resources, setting off new chains of action and reaction within the agency and in its environment.

The ultimate management task is to maintain a <u>dynamic equilibrium</u> among the many variables that make up the organization and its environment. (See Figure 1) Some variables are largely outside the control of agency managers; others can be altered, partially or significantly, by management directive. The task is to make or attempt to influence those kinds of change that will promote productivity and organizational health.

James Thompson has called this "co-alignment."[9] The concept conveys a fundamental fact of organizational management --that the various components of any organization exist in intricate relationship, and that change in any one area requires adjustments in others if balance is to be maintained. Where management fails to respond effectively to change, the organization may take off in unintended directions and uncontrolled ways.

No organizational "equilibrium," of course, is more than temporary, as any experienced manager is well aware. This means that questions of mission cannot be answered once and for all. Analysis of capacities and needs and assessment of external relationships also <u>must be ongoing</u>. Especially in times of shrinking resources, disjunctions will continue to be found. Agency leader-

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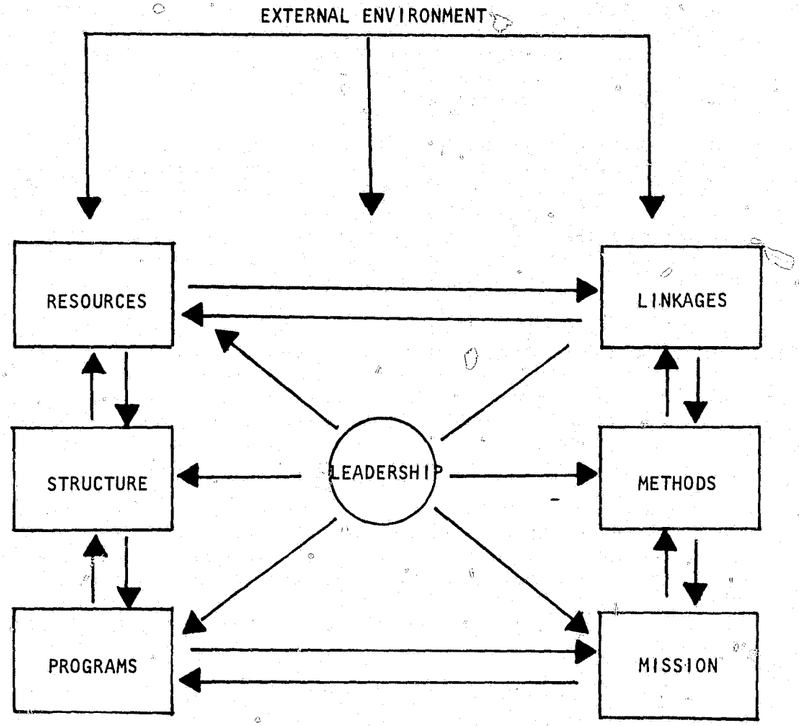
9. James Thompson, <u>Organizations in Action</u>, New York, McGraw-Hill, 1967.

FIGURE 1

MAINTAINING ORGANIZATIONAL BALANCE



ship thus must be constantly scanning the the organization and its environment, seeking out sources of disequilibrium, and making the continual adjustments needed to maintain a dynamic and healthy balance over time.

APPENDIX A:

A SELECTED BIBLIOGRAPHY

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Allen, Harry E. and others, Critical Issues in Adult Probation: Summary, Washington, D.C., LEAA, 1979.

Summary report of a nine-volume review of probation literature and research. The most comprehensive collection of information on probation currently available, this work reviews such topics as caseload management, service delivery strategies, time studies, management information systems, volunteers, and cost analysis techniques.

American Bar Association, A Handbook of Cost-Benefit Techniques and Applications, by Jeffrey I. Chapman and Carl W. Nelson, Washington, D.C., ABA Correctional Economics Center, 1975.

Guidelines for applying cost-benefit analysis to corrections, including techniques for assessing social outcomes and non-direct costs.

Altman, Stan, "Performance Monitoring Systems for Public Managers," Public Administration Review, 39(1):31-35, 1979.

Describes purposes and methods of performance monitoring systems in public service organizations, types of performance measures, the nature of goals and objectives, and relationships between activities directed by them.

Behn, Robert O., "Leadership for Cutback Management: the Use of Corporate Strategy," Public Administration Review, Nov./Dec., 1980, pp. 613-20.

Describes the special usefulness of an understandable, coherent mission when cutbacks are required.

Bennett, James T. and Manuel H. Johnson, "Tax Reduction Without Sacrifice: Private Sector Production of Public Services," Public Finance Quarterly, October 1980, pp. 363-96.

Explains the logic of private production of public services (economies of scale, incentives for efficiency, etc.) and presents the empirical findings supporting private production of various public services.

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Biller, Robert P., "Public Policy and Public Administration," Korea Observer, 9(3):1978.

Contrasts bureaucratic or "bedrock" approaches to management with those suited to the "swampy" circumstances of systems experiencing rapid change. Suggests how the different approaches might be effectively used in managing change.

Bryant, Stephen and Joseph Kearns, "Workers' Brains as Well as Their Bodies: Quality Circles in a Federal Facility," Public Administration Review, 42(2):144-50, 1982.

Description of "quality circles" (small groups of workers who meet regularly to identify, analyze, and solve problems they experience in their jobs) in the public sector, and keys to their effective use.

California Office of Criminal Justice Planning, The Impact of Proposition 13 on Local Criminal Justice Agencies in California, Sacramento, CA, 1979.

Study of the impact of revenue scarcity on various county-level justice agencies by major categories of expenditures.

Carlson, Eric W. and Evalyn C. Parks, Critical Issues in Adult Probation: Issues in Probation Management, Washington, D.C., LEAA, 1979.

Although fiscal constraints are not a central focus of this volume, management techniques are analyzed with efficiency and effectiveness as goals. Extensive bibliography.

Danziger, James N. and Peter Smith Ring, "Fiscal Limitations: A Selective Review of Recent Research," Public Administration Review, 42(1):47-54, 1982.

Describes types of recent fiscal limitations measures and their impacts on politics, intergovernmental relations, the budgetary process, capital markets, and various services, including education, health, welfare, and criminal justice.

Draper, Frank D. and Bernard T. Pitsvada, "ZBB --Looking Back After Ten Years," Public Administration Review, 41(1):76-83, 1981.

Based on federal experience with zero-base budgeting, suggests the major benefits have been the formalization of a system displaying alternative funding levels and the involvement of lower-level managers in the budget process.

Duffee, David E., "Changes in Penal Goals and Structure in a Downward Economy," in Kevin N. Wright (ed.), Crime and Criminal Justice in A Declining Economy, Cambridge, Mass., Oelgeschlager, Gunn, and Hain, 1982.

Describes the ways in which changes in the economy affect the goals and structure of correctional organizations, and the way in which the effects of economic changes are conditioned by the "political economy" of the organization itself.

Emery, F. E. and E. L. Trist, "Organizational Environments and Adaptation: The Causal Texture of Organizational Environments," Human Relations, 18(1):21-32, 1965.

A landmark work depicting different types of environments, from placid to turbulent. Since the setting for public organizations today tends to be volatile, challenging, and turbulent, the requirements suggested for leadership and structural design are of considerable practical importance.

Fitzharris, Timothy L., Economic Strategies in Probation, Sacramento, CA, California Probation, Parole and Correctional Association, 1981.

Presents ideas and information to help probation managers make a strong case for their agency operations in developing and defending their budgets. Outlines methods for estimating the impact of budget cuts, for building constituencies, for assessing costs and benefits, and for identifying cost offsets.

Fitzharris, Timothy L., Probation in an Era of Diminishing Resources, Sacramento, CA, California Probation, Parole and Correctional Association, 1979.

Study showing the immediate, short-range impacts of Proposition 13 on California probation, describing probation functions most severely affected by early budget cutting.

Florestano, P. S. and S. B. Gordon, "Public vs. Private: Small Government Contracting with the Private Sector," Public Administration Review, 40(1):29-34, 1980.

Study of the use of private-sector contracting by 89 medium-sized municipal governments.

Goldoff, Anna C. and David C. Tatage, "Joint Productivity Committees: Lessons of Recent Initiatives," Public Administration Review, 38(2):184-86, 1978.

Describes essential conditions for labor-management productivity improvement programs and common problems these joint committees face at state, federal, and local levels.

Greenhalgh, Leonard and Robert B. McKersie, "Cost-effectiveness of Alternative Strategies for Cut-Back Management," Public Administration Review, a40(6):575-84, 1980.

Compares the cost-effectiveness of two strategies for personnel cutback, layoff and attrition, concluding that planned attrition is generally preferable.

Hatry, Harry P., "The Status of Productivity Measurement in the Public Sector," Public Administration Review, 38(1):28-33, 1978.

Describes productivity measurement and productivity measures, then examines current practices and emerging trends in the public sector.

Harlow, Nora and E. Kim Nelson, Management Strategies for Probation in an Era of Limits, Washington, D.C., National Institute of Corrections, 1982.

Reviews field experience with the major strategies for the management of probation in an era of fiscal limits. Benefits, costs, and keys to successful implementation are emphasized. Relevant theory and research from the field of generic public administration are brought to bear on practical concerns of the probation manager.

Honadle, Beth Walter, "A Capacity-Building Framework: A Search for Concept and Purpose," Public Administration Review, 41(5): 575-80, 1982.

Describes "capacity building" in the context of revenue scarcity and in the public sector, where survival without worthwhile function is unacceptable. Provides a framework for anticipating and influencing change, making informed policy decisions, attracting and managing resources, and evaluating activities as a guide to future action.

Jensen, Daniel R., "Unifying Planning and Management in Public Organizations," Public Administration Review, 42(2):157-62, 1982.

Describes a planning process applicable to a wide variety of situations. Proposes the application of the same planning steps to human resource management as the most effective approach to increasing productivity.

Jun, Jong S. and William B. Storm, Tomorrow's Organizations: Challenges and Strategies, Glenview, Ill., Scott, Foresman, 1973.

Describes a variety of futuristic perspectives on organizations, stressing the "matrix" organization —open and adaptive to change, operating with dispersed power systems and team management configurations.

Kassebaum, Gene and others, Contracting for Correctional Services in the Community (Summary), Vol. I, Washington, D.C., LEAA, 1978.

A study of the role of private organizations in providing community corrections services under contract. Reports on historical, legal, and administrative contexts for contracting, key issues in contracting, the referral structure, characteristics of service providers, costs and sources of support, monitoring performance, and the logic of decisions in referring.

Kellar, Elizabeth K. (ed.), Managing with Less: A Book of Readings, Washington, D.C., International City Managers Association, 1979.

A collection of articles on organizational decline and cutback management, with a focus on such issues as local government organization, cost savings, productivity, and financial management.

Kramer, Ralph M., "From Volunteerism to Vendorism," Paper presented to workshop on Public-Private Collaboration in the Delivery of Local Public Services," Davis, California, University of California Institute of Governmental Affairs, California Government Series II, No. 16, September 1980.

Advantages and disadvantages of using nonprofit agencies to provide public services under contract. States practical questions that should be considered in decisions about their use.

Levenson, Rosaline, "Do Private Contractual Services Substitute for Public Employees?" Public Personnel Management, May/June 1977, pp. 139-48.

Demonstrates the limits of "privatization" of government services, suggesting that contracts are most useful in well-defined areas for limited periods of time.

Levenson, Rosaline, "Public Use of Private Service Contracts: A Plea for Caution," Paper presented to workshop on Public-Private Collaboration in the Delivery of Local Public Services, Davis, California, University of California, Institute of Governmental Affairs, California Government Series II, No. 16, September 1980.

A comprehensive review of public service contracting with private agencies, beginning with public choice theory. Describes current practices in California, conditions under which contracting is desirable, and key issues.

Levine, Charles H., "Cutting Back the Public Sector: The Hidden Hazards of Retrenchment," Third Inaugural Lecture, Lawrence, Kansas, University of Kansas, 1981.

Describes the retrenchment process and its potential negative effects, including allocational and power shifts, human resource erosion, overcentralization, and service default. Ways of avoiding problems are outlined.

Levine, Charles H., "More on Cutback Management: Hard Questions for Hard Times," Public Administration Review, 39(2):179-83, 1979.

Discusses problems that force managers to rethink organizational design and function and make strategic management choices in times of scarcity.

Levine, Charles H., "Organizational Decline and Cutback Management," Public Administration Review, 38(4):316-25, 1978.

Sets the phenomenon of organizational decline in the context of administrative theory, describes the various causes of decline, and lays out strategic choices available to the manager of a declining organization.

Levine, Charles H. and Irene Rubin (eds.), Fiscal Stress and Public Policy, Beverly Hills, CA, Sage Publications, 1980.

A collection of articles on public budgeting and policy-making in a cutback era. Examines federal, state, and local

problems rather than agency problems, but aids understanding of the context in which agency managers must work.

Lindquist, Charles A., "The Private Sector in Corrections: Contracting Probation Services from Community Organizations," Federal Probation, 44(1):58-64, 1980.

A description of various approaches to contracting in corrections, including the Salvation Army's Misdemeanant Probation program in Florida and Massachusetts' purchase of rehabilitative services from a nonprofit agency. Suggests alternatives, including a voucher system similar to that proposed for the education field.

Lovell, Catherine H. and others, Federal and State Mandating on Local Governments: An Exploration of Issues and Impacts, Riverside, CA, University of California, 1979.

Considers fiscal impacts and policy issues associated with programmatic and procedural requirements placed on local governments by state and federal governments. A method for monitoring mandate costs is presented.

McCafferty, Jerry, "Revenue Budgeting: Dade County Tries a Decremental Approach," Public Administration Review, Vol. 41 (Special Issue: The Impact of Resource Scarcity on Urban Public Finance), 1981, pp. 179-89.

Describes the characteristics of "revenue budgeting," an approach that places specific fiscal limits on agency budgets and requires managers to plan within those limits. Dade County managers use a "decremental chart" to assess likely program impacts of various funding levels.

McClure, Jesse F. (ed.), Managing Human Services, Davis, CA, International Dialogue Press, 1979.

The theme of this collection is the delivery of quality human services in a cutback environment, although little mention is made of cutbacks or dealing with them. The focus is on good management and the human services specifically.

McTighe, John J., "Management Strategies to Deal with Shrinking Resources," Public Administration Review, 39(1):86-90, 1979.

A prescription for formulating strategies to deal with shrinking revenues in the public sector. Presents a series of questions, focusing on options and problems to avoid, to help managers deal with organizational decline.

Mushkin, Selma J. (ed.), Proposition 13 and its Consequences for Public Management, Cambridge, Mass., Council for Applied Social Research, 1979.

Historical, theoretical, and practical articles focused on the impact of Proposition 13 in California. The public's role in government and several ways to streamline management and improve performance are among the topics covered.

National Association of Counties, Bridging the Revenue Gap, Washington, D.C., NACO, 1980.

A handbook for elected officials, this monograph deals with revenue management, user fees, public pricing, cost-effectiveness, and controlling expenditures.

National Criminal Justice Executive Training Program, "Going into the 80s: Coping with the Pressures of Diminishing Resources," Program Handbook of the 1979 Annual Meeting of the National Conference of State Criminal Justice Planning Administrators, Washington, D.C., LEAA, 1979.

Designed to accompany a management training seminar, this handbook presents much information in summary form. Several articles on cutback management in corrections, the courts, and law enforcement are reproduced in full.

Needle, Jerry, Police Effectiveness and Productivity Measurement: A Package of Concepts, Tools, and Guidelines for Building and Using a Measurement System, Sacramento, CA, American Justice Institute, 1979.

A good description of the process of defining goals and objectives and developing performance measures.

Nelson, E. Kim, Robert C. Cushman, and Nora Harlow, Unification of Community Corrections, Washington, D.C., National Institute of Justice, 1980.

Examines three models for the delivery of community corrections services —the county administered unified corrections model, the regional or multi-jurisdiction model, and the state-administered decentralized model. Strategies for enhancing service delivery in each are described.

Nelson, E. Kim, and Nora Harlow, Responses to Diminishing Resources in Probation: the California Experience, Washington, D.C., National Institute of Corrections, 1980. (Draft report).

A study of California probation following Proposition 13, this report describes management responses to fiscal cutbacks and sets field experience in the context of public administration theory and research.

Nelson, E. Kim and Catherine H. Lovell, Developing Correctional Administrators, Washington, D.C., Joint Commission on Manpower and Training, 1969.

Documents the lack of management training among correctional administrators studied and notes the need for managers to behave strategically in terms of a large, complex field of forces. Case examples.

Nelson, E. Kim, Howard Ohmart, and Nora Harlow, Promising Strategies in Probation and Parole, Washington, D.C., LEAA, 1978.

Based on a national survey of trends and innovations in probation and parole, this report emphasizes the importance of goal-setting, dynamic management, and building networks with related organizations.

Perrow, Charles, Complex Organizations: A Critical Essay, (2nd ed.), Glenview, Ill., Scott, Foresman, 1979.

Reviews contrasting models of organization and management. Offers the working manager a succinct, critical exposition relating theory to practice. A final chapter on the organizational environment presents evocative ideas on networking and decentralized administration appropriate to an era of fiscal limits.

Pyhrr, Peter A., Zero-Base Budgeting, New York, John Wiley, 1973.

A technical but definitive work by a recognized authority on zero-base budgeting.

Quinn, Robert E., "Productivity and the Process of Organizational Improvement," Public Administration Review, 38(1):41-45, 1978.

An action model for increasing organizational productivity. Defines and explains terms and concepts.

Savas, E.S., "Intracity Competition between Public and Private Service Delivery," Public Administration Review, 41(1):46-51, 1981.

Outlines reasons for introducing competitive systems and describes the various forms they have taken.

Schick, Allen, "The Road from ZBB," Public Administration Review, 38(2):177-80, 1978.

An overview of the use of zero-base budgeting in the federal government, this article observes its primary impact in the involvement of program managers in budgeting.

Selznick, Philip, Leadership in Administration, New York, Harper and Row, 1957.

Distinguishes organizations that are preoccupied with survival from those that are infused with value and accorded legitimacy by forces in the environment. Suggests key leadership roles and problems.

Stenberg, Carl W., "Beyond the Days of Wine and Roses: Intergovernmental Management in a Cutback Environment," Public Administration Review, 41(1):10-20, 1981.

Describes problems accompanying the extension of federal aid to state and local governments, current and potential changes in the federal role, and ways of restoring balance to the system of intergovernmental management.

Straussman, Jeffrey D., "More Bang for Fewer Bucks? Or How Local Governments Can Rediscover the Potentials (and Pitfalls) of the Market," Public Administration Review, 41 (Special Issue: The Impact of Resource Scarcity on Urban Public Finance), 1981, pp. 150-58.

Describes market and quasi-market mechanisms (contracting, user fees, privatization, public-private competition) and the costs and benefits of each.

Thalheimer, Donald J., Cost Analysis of Correctional Standards (Vol. II): Community Supervision, Probation, Restitution, Community Service, Washington, D.C., LEAA, 1978.

Presents cost analyses of adult community-based supervision activities. Model budgets have been prepared, using corrections standards as a guide.

U.S. Department of Justice, Correctional Data Analysis Systems, by Charles M. Friel and others, Washington, D.C., Bureau of Justice Statistics, 1980.

Survey of management information systems in corrections and the kinds of questions they can answer. Describes available software for report generation and analysis.

U.S. National Institute of Law Enforcement and Criminal Justice, Fees for Correctional Services: A Survey, by Joseph H. Sasfy, Washington, D.C., 1980.

Describes the types of fees charged for probation services and the conditions under which they are charged. Provides a detailed account of user fees in seven states, including enabling legislation and samples of fee forms and notices.

U.S. Office of Personnel Management, Federal Executive Institute, Management Improvement Agenda for the Eighties, Report of a Seminar on Strategies for Management Improvement in the Federal Government, ed. by Charles F. Bingham and Frank P. Sherwoode, Washington, D.C., FEI, 1981.

Details the problems of overmanagement, the need for better program evaluation, the impact of the political system on administration, and federal initiatives for change in this area. Notes directions for budget reform for the 1980s.

University Research Corporation, Managing the Pressures of Inflation in Criminal Justice (Participant's Handbook), prepared by Jerome Miron and others, Washington, D.C., National Institute of Justice, 1979.

Prepared for management training purposes, this handbook focuses on techniques for reducing operations without adverse effects on goal achievement. System-wide efforts to cut costs and anticipating systemic effects of cuts in one agency are advocated.

Walker, Warren E. and others, The Impact of Proposition 13 on Local Criminal Justice Agencies: Emerging Patterns, Los Angeles, Rand Corporation, 1980.

A study of post-Proposition 13 criminal justice noting a decline in cooperative efforts and resistance to consolidation across jurisdictions. A trend toward reduced supervision in probation is anticipated, with a focus instead on presentence reports and surveillance of offenders released on bail.

Wayson, Billy L. and others, Managing Correctional Resources: Economic Analysis Techniques, Washington, D.C., National Institute of Justice, 1981.

Thorough description of various cost analysis techniques and the conditions under which they are most useful. Cost analysis, comparative cost analysis, cost effectiveness analysis, and cost benefit analysis are described.

APPENDIX B:

RESOURCES FOR INFORMATION AND ASSISTANCE

APPENDIX B: RESOURCES FOR INFORMATION AND ASSISTANCE

The following are a few sources of additional information and assistance to administrators seeking to implement some of the strategies described in this volume.

Training —staff and management

Mr. Ed Jimison, Training Officer
Contra Costa County Probation
Training Office
2525 Stanwell Drive
Concord, Calif. 94520

Dr. Timothy L. Fitzharris, Director
California Probation, Parole and Correctional Association
1722 J Street, Suite 18
Sacramento, Calif. 95814

Ms. Nancy Lick, Director
Planning and Staff Development
Philadelphia Adult Probation Department
1317 Silbert Street, Room 500
Philadelphia, Pa. 19107

National Institute of Corrections
320 First Street, N.W.
Washington, D.C. 20534

Budget Packaging and Presentation

Mr. Gerald Buck, Chief
Contra Costa County Probation Department
Administration Building, 10th Floor
Martinez, Calif. 94553

Restitution and Community Service

Ms. Christine Deane
The Earn-It Program
Quincy District Court
50 Chestnut Street
Quincy, Mass. 02169

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(Restitution, cont'd.)

Ms. Lynn Gagne
Women Offender Program
Arrowhead Regional Corrections
404 West Superior Street
Duluth, Minn. 55802

Juvenile Community Services
Contra Costa County Probation Department
Administration Building, 10th Floor
Martinez, Calif. 94553

Volunteers

Mr. Gail Hughes, Chief Supervisor
Adult Probation and Parole
Box 267
Jefferson City, Mo. 65102

Mr. Thomas Colina, Volunteer Director
Hamilton County Municipal Court
Probation Division
222 E. Central Parkway (lower level)
Cincinnati, Ohio 45202

Mr. Joseph P. Tolan
Deputy Secretary for Juvenile Justice
Department of Human Services
216 S. Fifth Street
Louisville, Ky. 40202

Student Interns

Dr. John Jones, Chief
Probation and Community Services
52nd District Court
Administrative Annex II
1200 North Telegraph Road
Pontiac, Mich. 48053

Dr. Harvey R. Hohauser, Associate Director
Urban Affairs Center
Oakland University
Rochester, Mich. 48063

Community Resource Management Teams

Mr. Herbert Sigurdson
Training Associates
5575 Pennsylvania Avenue, #B
Boulder, Colo. 80303

Networking at the Local Level

Mr. James Rowland, Chief
Fresno County Probation Department
P.O. Box 453
Fresno, Calif. 93709

Streamlining the Presentence Process

Mr. Loren A. Beckley, Project Director
American Justice Institute
725 University Avenue
Sacramento, Calif. 95825

Classification

Dr. Marvin Bohnstedt, Project Director
American Justice Institute
725 University Avenue
Sacramento, Calif. 95825

Mr. Chris Baird
National Institute of Corrections
320 First Street, N.W.
Washington, D.C. 20534

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Arizona Supreme Court
Phoenix, Ariz.

Frank Carrington
Executive Director
Victims' Assistance
Legal Organization
Virginia Beach, Va.

Donald L. Collins
Attorney
Collins and Alexander
Birmingham, Ala.

Harold Daitch
Attorney, partner
Leon, Weill and Mahony
New York City

Gavin de Becker
Public Figure Protection
Consultant
Los Angeles, Calif.

Priscilla H. Douglas
Manager, Quality Systems
Pontiac Motor Division
General Motors Corporation
Pontiac, Mich.

John Duffy
Sheriff
San Diego, Calif.

George D. Haimbaugh, Jr.
Robinson Professor of Law
University of South Carolina
Law School
Columbia, S.C.

Richard L. Jorandby
Public Defender
Fifteenth Judicial Circuit
of Florida
West Palm Beach, Fla.

Kenneth L. Khachigian
Public Affairs Consultant
formerly Special Consultant
to the President
San Clemente, Calif.

Mitch McConnell
County Judge/Executive
Jefferson County
Louisville, Ky.

Guadalupe Quintanilla
Assistant Provost
University of Houston
Houston, Texas

Frank K. Richardson
Associate Justice
California Supreme Court
San Francisco, Calif.

Bishop L. Robinson
Deputy Commissioner
Baltimore Police Department
Baltimore, Md.

James B. Roche
U.S. Marshal
Boston, Mass.

Judy Baar Topinka
Member
Illinois State Legislature

H. Robert Wientzen
Manager
Field Advertising Department
Procter and Gamble
Cincinnati, Ohio

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