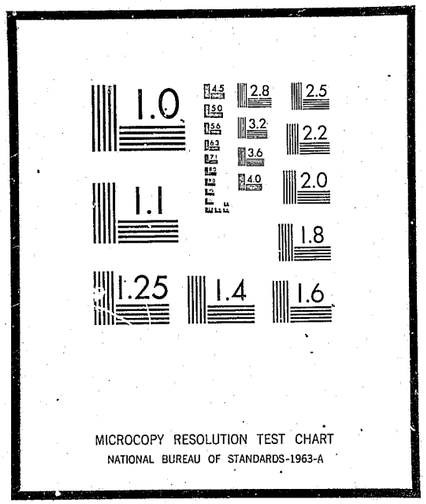

PLANNING, MANAGEMENT AND EVALUATION OF COMMUNITY ACTION PROGRAMS

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October 1973

P-5099

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The Rand Corporation
Santa Monica, California 90406

PLANNING, MANAGEMENT AND EVALUATION OF COMMUNITY ACTION PROGRAMS*

by

H. Sackman

October 1973

*Initial chapter of a final report for the Department of Transportation, entitled "Guidelines for Developing and Implementing Community Programs to Assist and Re-Educate Drinking Drivers," performed at the Public Systems Research Institute of the University of Southern California, 1972. An overview of the entire study is described in P-4993. Since the original report is no longer available from USC, this chapter has been reprinted to meet continuing requests for additional documentation.

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1.1 INTRODUCTION

The title of this chapter links management and evaluation with planning. Many experts in large-scale organizational planning identify sound management with the planning process, as distinguished from day-to-day firefighting. Effective management is impossible without accurate and valid feedback from the community system; this feedback is embodied in continuing test and evaluation of the community program. Thus, planning, management and evaluation are inseparable in conceiving, designing, producing, and implementing community action programs to meet the challenge of drinking drivers. Each of these areas is described in succeeding sections of this chapter with special emphasis on problems and pitfalls encountered in our limited prototype experience, punctuated by the lessons we learned which may be of benefit to others.

1.2 COMMUNITY PLANNING

Everyone will agree that planning is essential for the success of any new and complex venture. Few will agree, however, on the nature of the planning process itself, what constitutes a good plan, and how much time and effort should be devoted to planning. Many individuals think of planning as a quick and dirty process, something obvious and done in a hurry to arrive at an agreed plan, followed by everyone somehow sticking to the plan as closely as possible until a major obstruction is encountered, at which point a revised plan is concocted. This antipathy toward planning, treating it as a kind of unavoidable irritant, reflects the natural human tendency to somehow muddle through with minimum effort.

Unfortunately, muddling through is not enough in a world marked by an accelerated tempo of contemporary social change. Mounting problems require increased planning at all social levels. Increased obsolescence of human knowledge, in turn, requires more frequent planning based on updated information to adapt to swiftly changing conditions. The federal government has pioneered in new planning procedures since World War II, procedures that are beginning to reach into communities organizing to meet growing local problems, including the deadly problem posed by drinking drivers.

In defense and aerospace activities, the systems approach has been developed and refined to guide long-range projects successfully to completion. In Federal government, the Planning-Programming-Budgeting System (PPBS) has evolved to compel federal agencies to meet basic planning and management standards for more optimal cost-effectiveness for the taxpayer's dollar. What are the basic elements of these planning developments and how can they be applied to community action programs?

To appreciate current approaches to effective planning, four sequential, but overlapping types of planning should be distinguished: policy planning, strategic planning, tactical planning, and operational planning. Explanations of each are described with illustrative examples for drinking driver programs.

1. Policy planning refers to selection of the desired social goals and objectives of a given program and the explication of competing social values that underlie such goals.

2. Strategic planning refers to the selection of most desirable routes or options to achieve desired policy goals, including procedures for systematic comparison and assessment of such options.

3. Tactical planning is the delineation of feasible and acceptable sequences of actions to implement a particular strategy. Tactical planning presupposes well-defined organizational systems and subsystems for planning implementation.

4. Operational planning refers to actual field implementation of tactical planning, to on-the-spot management, performance feedback, and evaluation.

The fourfold distinction described above is useful in highlighting planning as an evolutionary process in its own right, continually adapting to changing conditions from the initial gleam in someone's eye, to the obsolete program superseded by a new system configuration. There are many techniques and approaches to planning, including: gaming, scenarios, expert opinion (e.g., Delphi), Program Evaluation and Review Techniques (PERT), PPBS, benefit/cost analysis, social accounting, input-output tables, decision matrices, and time-series extrapolation. No single approach is the panacea in this complex and rapidly changing field--a balanced mix of approaches is needed, commensurate with the resources and complexity of community programs and responsive to program changes.

Perhaps the technique of greatest interest, because of its widespread use in government, and its growing use in the international community, is PPBS. This comprehensive planning approach calls for systems analyses of agency objectives, definition of a five-year plan, cost-effectiveness analyses of proposed programs, annual updating of plans and budgets for five-year projections, and continuing assessment of programs.

The four general types of planning--policy, strategic, tactical, and operational--are briefly reviewed for their impact on ASAP* planning. Policy planning should cover the ten objectives specified by the National Highway Safety Bureau of the Department of Transportation for the national alcohol safety countermeasures program:

- Official Support
- Public Support
- Identification of Problem Drinking Drivers
- Enforcement
- Court Action
- Required Treatment
- Licensing Actions
- Driver Assistance
- Driver Training
- Program Evaluation

*Alcohol Safety Action Program (the national program sponsored by DOT).

Very few will disagree with the above basic objective for ASAP efforts. However, the relative emphasis on each in the competition for limited funds is another matter. Here is where explicit policy planning needs to be invoked. A given community might prefer to focus on changes in public attitudes, another on driver training, and another on licensing restrictions. In the Santa Monica prototype demonstration, we reached a major policy decision by emphasizing feasibility, cost and effectiveness of our procedures as opposed to conducting a rigorous scientific study. Key reasons for this choice were pressing ASAP needs, limited demonstration samples, and limited resources with a short time span for the study. In the ASAP context, the long-range policy goal of successful phaseover of the program to local community agencies should strongly influence the relative allocation of resources among major objectives.

Policy planning should always be accompanied by a clear vision of long-range planning. Today this tends to mean up to and even beyond the year 2000. Long-range planning has the virtue of generating a positive image of desired social affairs which acts as a motivational spur. In the drinking driver area, this poses very fundamental choices which will probably vary from one community to another. Some will envision a virtually "dry" society, others the use of alcohol only for ceremonial purposes, others moderate social drinking as the norm, and others more extended specialized uses of alcohol and other drugs, under social control. Each leads to different scenarios of the future. At one extreme, the entire alcohol industry would effectively be discredited and dismantled, together with support for psychedelic drugs generally, with greater emphasis on purely physical and social stimulation. At the other extreme, aggressive experimentation with authorized drugs, including alcohol,

would be encouraged under new social controls for their potential in influencing mood and mind states. And there are all the variations in between. No one can legislate morals, but they do enter into long-range planning in a very intimate way and the moral options should be made explicit among the planners and to the public.

In the area of strategic planning, we essentially relied on expert opinion to select programs that appeared to show greatest promise for meeting policy objectives. The use of expert review panels is widespread in ASAP efforts. The panel should be sufficiently broad to cover the wide-ranging interdisciplinary mix to meet ASAP objectives: e.g., judges, lawyers, police, physicians, psychologists, public relations, health officers, and social workers. The panel provided many valuable suggestions and served as checks and balances for some of our untested ideas. The panel was also instrumental in winning friends and influencing people by disseminating our community plan, by word of mouth, to many professionals and community leaders, securing more widespread support for our program.

The development of tactical planning, in our case, was dominated by cost-effectiveness considerations. Probably the most effective planning device yet invented is paper and pencil--it is sometimes amazing how much you can learn by going through a rough costing exercise to see where the major costs lie. One of the first lessons we learned in running cost-effectiveness estimates for counseling, classes, group therapy and crisis intervention was that the major expense stemmed from professional labor costs. By searching for adequate, rather than most highly qualified personnel, we were able to cut estimated costs drastically. We also found that farming some of these services

out to established agencies in the community was usually considerably less costly in time as well as money than trying to set up shop with all the attendant overhead problems. For example, using a local cab company for emergency pickup of subjects too drunk to drive, turned out to be only a fraction of the estimated cost as compared to setting up our own dispatching operation with project cars and specially trained and bonded drivers.

The challenge in operational planning was developing a concept and tools to maintain effective management control over the diverse activities and personnel in the field program. We effectively accomplished this by requiring performance feedback from all participants on an ongoing basis. That is, every time a subject had an encounter with the program, such as an interview, a class, or a group therapy session, we required the subject and the counselor to fill out a short evaluative form. These forms kept project management appraised of the progress of the program and provided us with early warning on developing problems before they got out of hand. This technique is essentially a precursor of real time management control based on continuing evaluative feedback.

This section on planning has laid the ground work for a community systems approach to ASAP efforts. The evolutionary relationships between planning, management and evaluation are more fully described in the next section.

1.3 COMMUNITY SYSTEM DEVELOPMENT

The basic elements of the community system development cycle are shown in Figure 1. The cycle starts with community needs for meeting the problems and social costs engendered by drinking drivers; this roughly corresponds to policy planning. The next block shows the critical planning stage for translating social needs into feasible and effective programs; this corresponds to

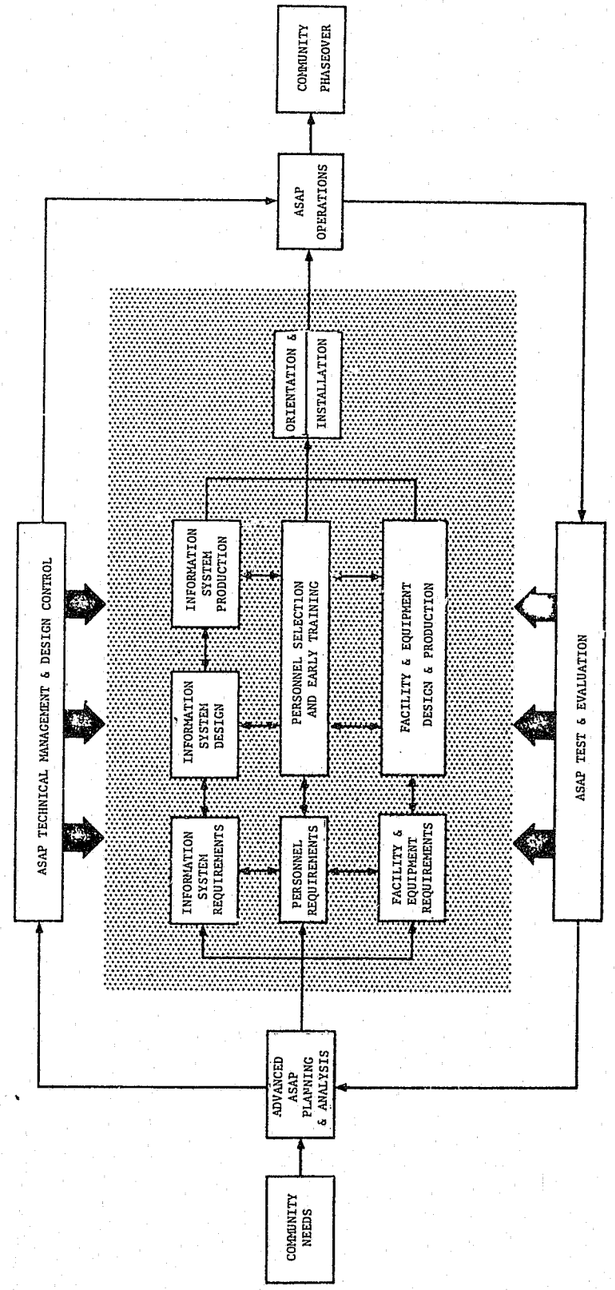


Figure 1. Developmental Planning of Community ASAP Systems

strategic planning. The next step in the flow diagram branches out into three parallel activities or subsystems--information, people and facilities (including equipment). This stage corresponds to system design and production, roughly equivalent to tactical planning. The next stage into which these three activities merge, orientation and installation, is the assembled total system which is tested and shaken down. Once certified, the system becomes operational (operational planning), eventually becomes obsolete, and leads to a second generation system.

Note that the system development process is modulated at all stages by management control (top of Figure 1), and by objective performance feedback through evolutionary test and evaluation (bottom of Figure 1). Thus, the interrelations between planning, management and evaluation are shown in the context of evolutionary development of community systems.

We now take a closer look at this system development process for community ASAP efforts. The first two blocks of Figure 1, primarily concerned with longer-range planning, have been discussed in the previous section, and need not be reviewed again. The systems approach and the subsystem structure may strike individuals who have never been involved in systems work as useless or even misleading formalism. Why bother with a systems approach at all? Wouldn't it do just as well to generate conventional organizational charts and schedules of the ASAP activity and let it go at that?

The systems approach was originally developed under the duress of war. It was essential that all elements of a wartime mission be tightly integrated in a unified team to meet mission objectives. The appalling death and injury inflicted by drinking drivers on society is essentially an order of magnitude greater than the rate of American casualties in Vietnam at their highest. For mission-oriented results, close teamwork is vital. At present, the police, judges,

lawyers, physicians, psychiatrists, social workers, probation officers and psychologists--to mention only several roles--participate at various points in processing drinking drivers. Each belongs to a separate subculture of his own. None reports to a managing agency overseeing all aspects of social response to drinking drivers. Put it all together and we have the spectacle of a modern Tower of Babel with the various roles often working at cross-purposes, with the public as the main loser. Successful response to the problem of the drinking driver calls for an organized, mission-oriented interdisciplinary approach to the problem.

Although the systems approach is still new and controversial, especially for community programs, and although it is no panacea for social problems, it is probably the best available conceptual and management technique we have yet devised to meet complex, long-range problems in the public domain. The systems approach specifies objectives, allocates resources, spells out roles, details schedules, defines quantitative performance standards, insists that end items meet such standards, gets all of this down on paper for the open record, backs up its allegations by cost-effectiveness analyses corrected by empirical feedback, and it is based on continuing self-corrective feedback throughout all of system evolution. While all of these advantages are fallible and subject to error, misinterpretation and abuse, the comprehensive systems approach is still probably the best and most advanced management vehicle available for long-range community action programs. The systems concept, subject as it is to multiple and often conflicting interpretations, has been sufficiently used in government, aerospace and defense, and has been sufficiently exposed and disseminated to most communities so that a "systems readiness" may be reasonably claimed to exist in wider circles, including community leaders.

This "systems readiness" should be used to maximum effectiveness in conceiving, implementing and sustaining community ASAP efforts.

Turning back to Figure 1, the impact of systems analysis is perhaps most strikingly illustrated in the central block of three parallel developmental activities--people, facilities, and information flow. Each has its own internal plan and each interacts with the other two elements.

For ASAP activities, personnel and facilities are probably more directly understood than the information or "software" subsystem. Most understand that appropriate personnel should be adequately selected and effectively trained in credible situations. The concept of system training--training all personnel as an integral team against partially simulated but realistic problem situations--is a more advanced notion that awaits greater maturity in ASAP developments. The notion of facility and equipment development is also fairly obvious; the detection, apprehension, court processing, and retraining of problem drinking drivers requires appropriately equipped police, and adequate court and rehabilitation facilities, all responsive to technological advances, as in accurate and valid measurement of intoxication levels, and in video recording of subject performance at the time of arrest.

The information subsystem refers to the complete flow of information in processing DWI offenders. The downfall of the many attempts in the past to obtain reliable and valid information has been due to incomplete, erroneous, unstandardized and non-comparable records and bookkeeping among the various courts and agencies concerned with drinking drivers. A systems analysis of information needs and requirements for complete processing of DWI offenders for all system users leads to specification of the information subsystem. This specification should be sufficiently complete, then tested and modified

in practice, so that it could form the basis for eventual computerization of drinking driver files, ultimately leading to online, interactive retrieval of DWI data.

In the current, manual stage of DWI data collection and storage, primary emphasis should be placed on standardized forms. As mentioned earlier, we have done this in the Santa Monica demonstration program for subject identification, monitoring his response to the program, and evaluating his performance. These forms are described in Volume 2 of this series.

Forms need to be pilot-tested, field tested, and continually updated and revised lest they grow obsolete. Personnel need to be adequately trained in standardized administration of forms, and explanatory manuals should be handy for quick reference. The documentation package should be regarded as a subsystem in its own right, comprehensive, clear and accurate, and responsive to system change with adequate resources to meet these needs.

For ASAP community efforts, the information cycle is more complex and extends over a much longer period, particularly in follow-up validation, than our prototype demonstration. For such programs, a more formal information analysis is required. We are fortunate in having available the initial court systems analysis performed by the Institute for Research in Public Safety at Indiana University.* Flow diagrams are reproduced from the original draft report in Figures 2, 3, 4, and 5. Figure 2 shows basic information flow from arrest to completed sentence; Figure 3 breaks the pre-trial phase down into greater detail; Figure 4 shows details from trial to sentencing; Figure 5 carries

*A Survey of Court Procedures for Handling Problem Drinkers Convicted of Driving While Intoxicated, Interim Draft Report, Institute for Research in Public Safety, Indiana University, March 1971.

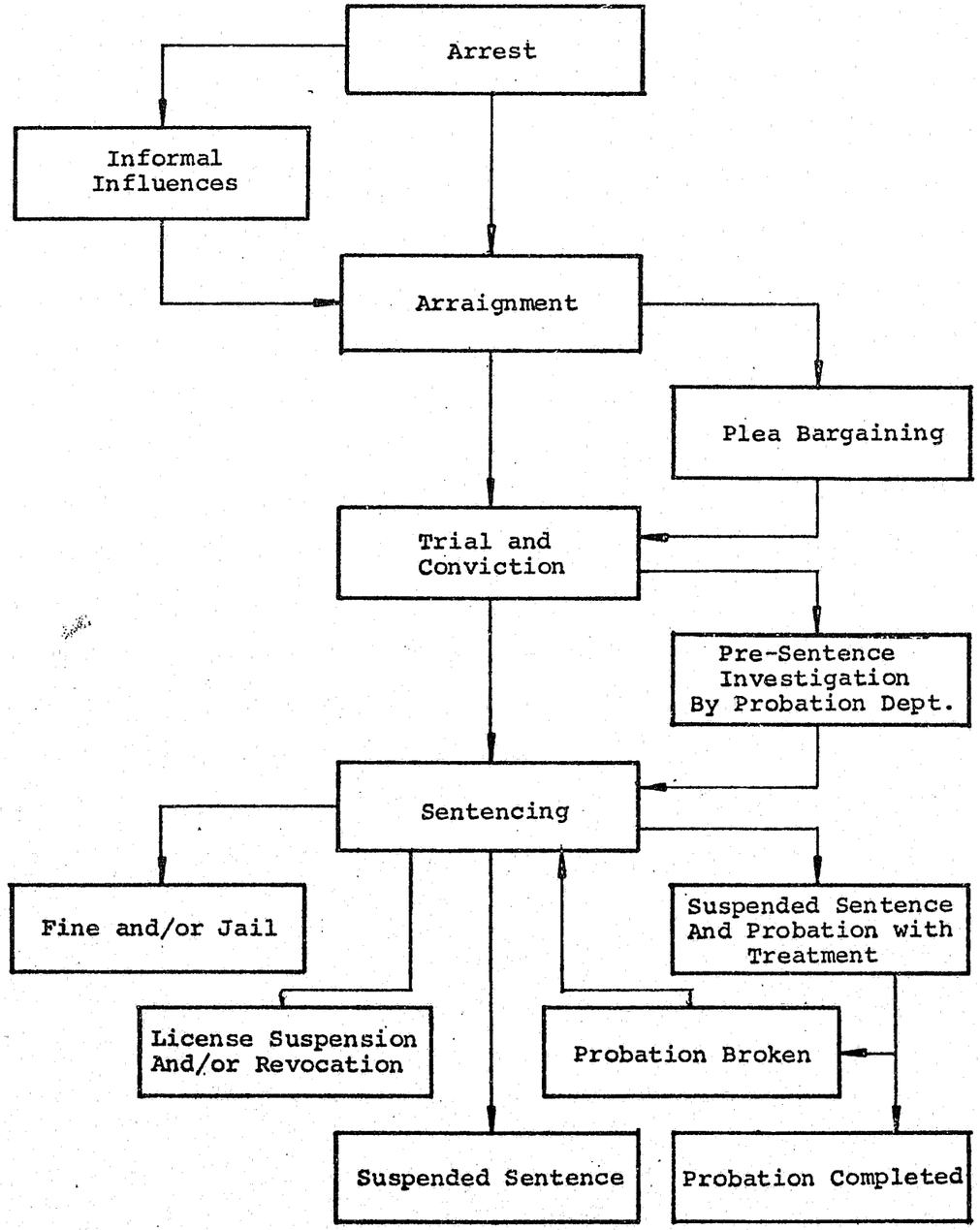
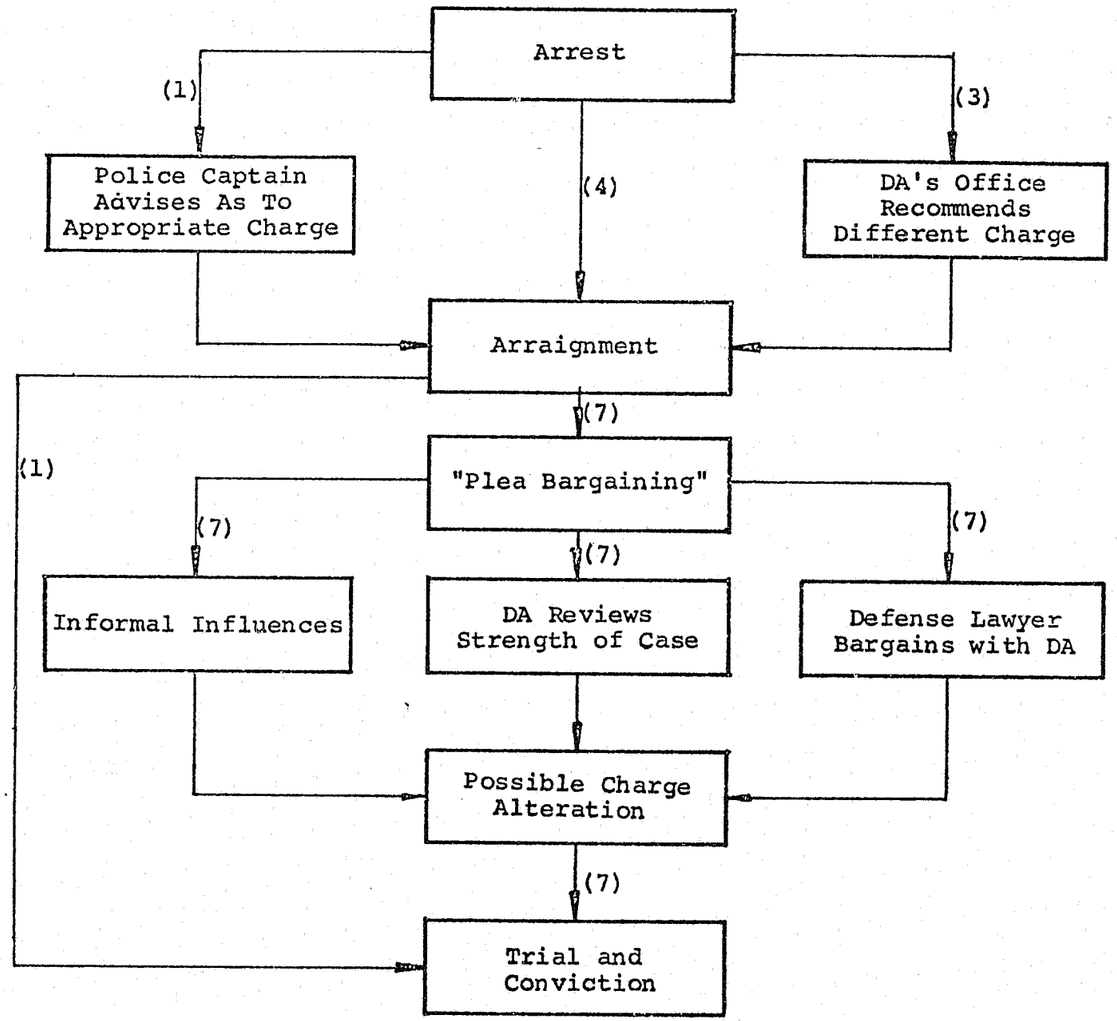
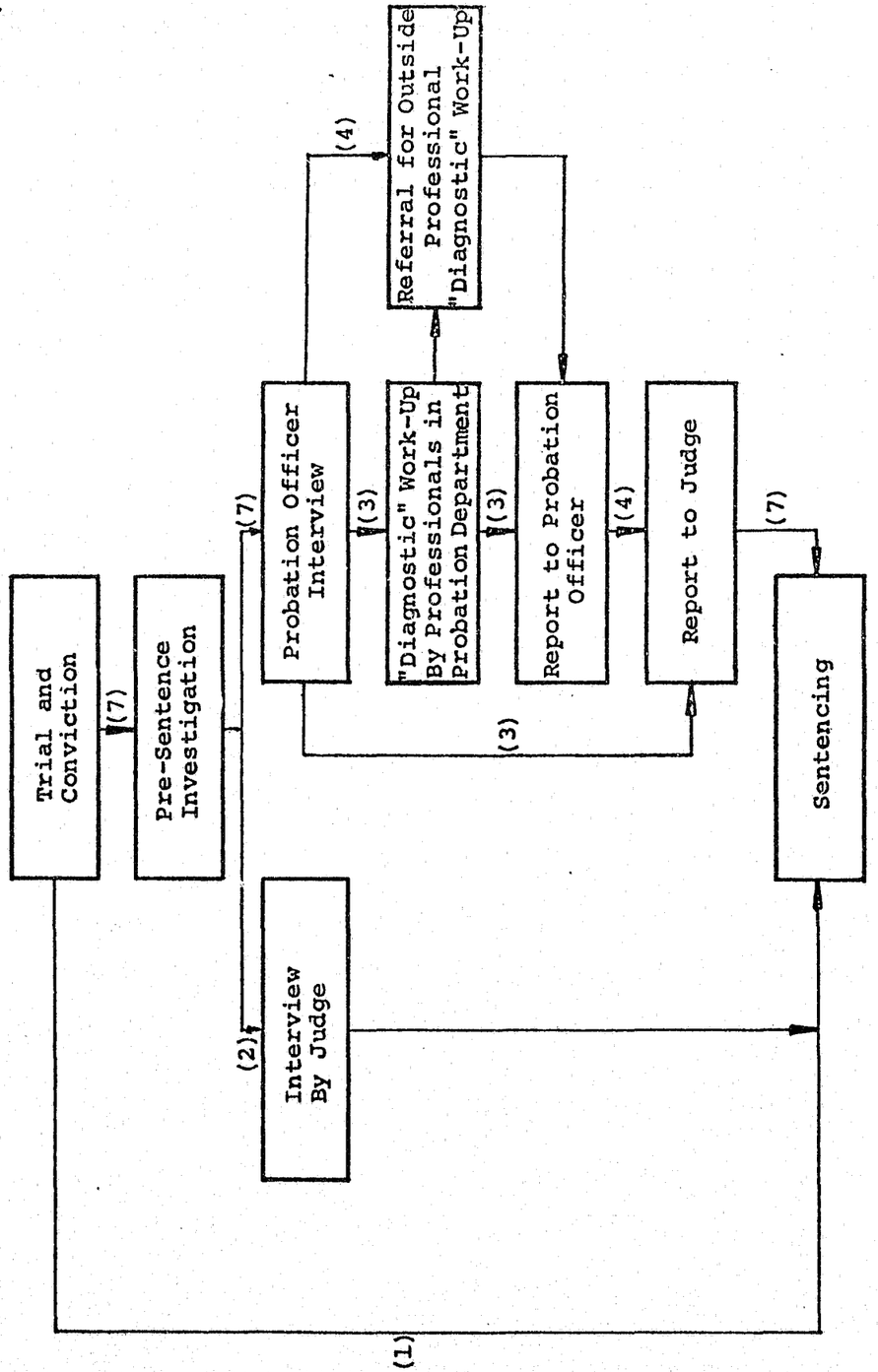


*Figure 2. Generalized Flow Diagram: DWI Processing from Arrest to Completion of Sentence
(Figures 2, 3, 4, 5, from Institute for Research in Public Safety, Indiana University, 1971.)



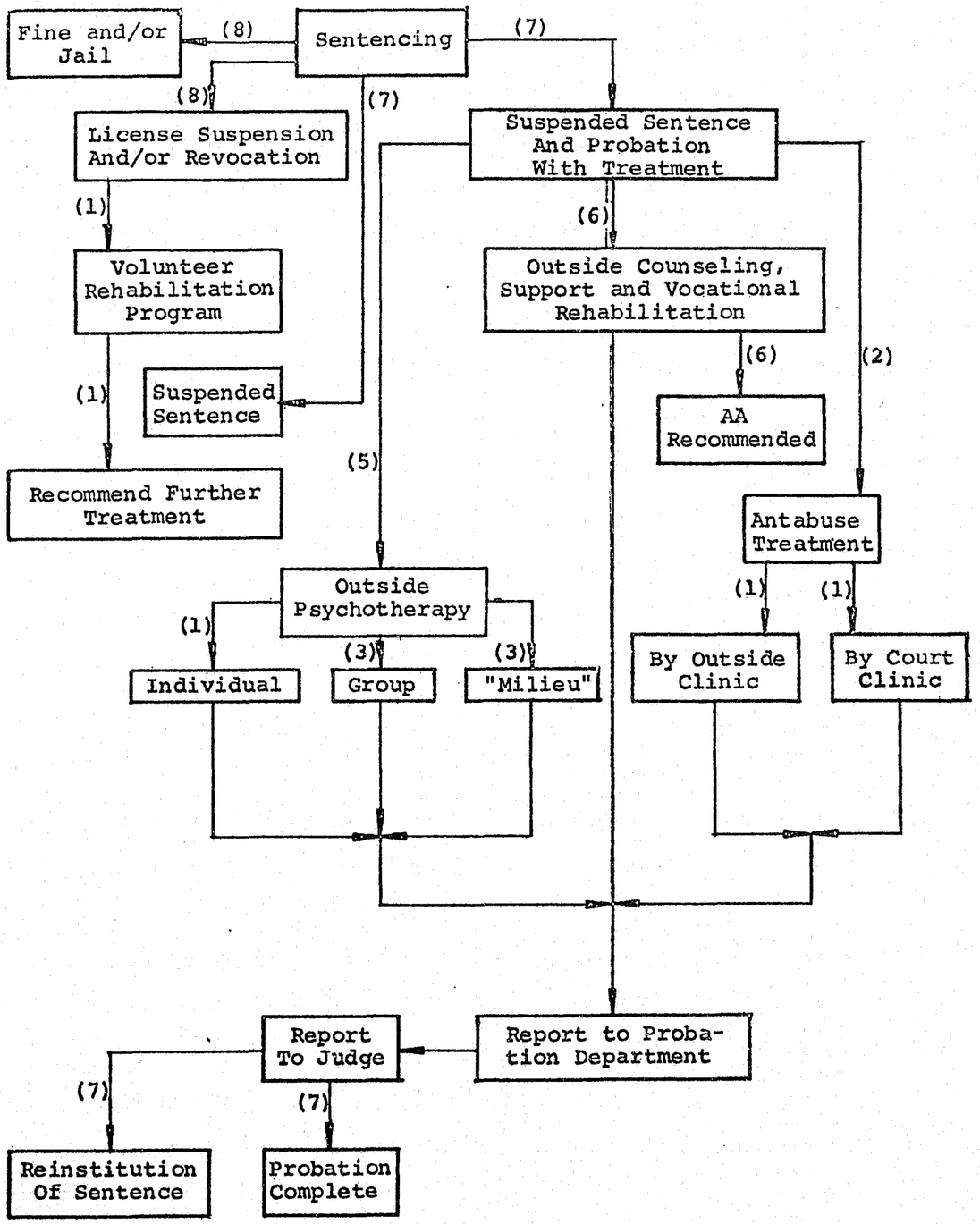
Note: Figures in parentheses indicate number of sites performing activity.

Figure 3. Detailed Pre-Trial Flow Diagram



Note: Figures in parentheses indicate number of sites performing activity.

Figure 4. Detailed Flow Diagram: Trial to Sentencing



Note: Figures in parentheses indicate number of sites performing activity.

Figure 5. Detailed Post-Sentencing Flow Diagram

the post-sentence period through to the final disposition of the DWI offender. Even the more detailed flow diagrams only show the generic outlines of major information decision points in processing DWIs. Each community ASAP will have its own unique configuration with greater or smaller variations from the prototype system information flow shown in the Indiana University report.

Returning to the system development cycle in Figure 1, note that the information, personnel and facility subsystems merge into the initial version of the complete system in the installation phase. At this point total system testing is possible, demonstration tests indicate the system is sufficiently stabilized to perform its mission, and, after adequate shakedown testing of components and the system as a whole, the system is ready for real-world operations. The operational phase, although shown as a single box, continues development and improvement of personnel, facility and information subsystems in the context of the overall system throughout its useful life cycle. For ASAP activities, the final step is phaseover of the program toward self-sustaining community support. The second generation system, the community version, then goes through a similar cycle. With the advent of low-cost computers and the imminent emergence of mass information utilities, the third generation system could be highly computerized along well established data processing lines. Hopefully, by that time (1980's), as a result of national ASAP activities and favorable social developments, the DWI offender could be less of a problem than he is today.

1.4 COMMUNITY MANAGEMENT

In approaching ASAP community management we should bear in mind that the ASAP is a pioneering effort in its own right, an experimental prototype community demonstration to be superseded by self-sustaining community systems.

Pioneers, as everyone knows, are the guys who get the arrows in their back. ASAP management, in many respects, is unprecedented. Unlike military weapons system management or aerospace management with firm lines of command, often leading up to a single general in charge of the whole works, ASAP management must walk a delicate line between the public, the local police and courts, the municipal/political structure, and other professionals of many callings contributing to the program. The enterprise is highly interdisciplinary, requiring great tolerance for inter-professional differences in style and outlook, and politically sensitive to changing public opinion. Thus two sides to management may be discerned, political and technical.

A key question that arises on the political side is just where should top ASAP management reside? Some favor placing it within the municipal court structure, others in public health, still others under traffic and transportation jurisdictions, and some hold forth for new agencies. Each community knows best where the shoe pinches and how it can get a better fit. There is no categorical answer to this question, at least until most of the ASAP returns are in. At this point, it is more important that the focus of top management be located where the program has the best chance to survive and succeed, all political and technical factors considered.

In our case, since the Santa Monica demonstration was conceived as a pilot study for ASAP prototypes, the University of Southern California represented a relatively neutral resolution of the management problem. If a university with adequate supporting skills exists in the ASAP community, and if the university is interested and has the support of community leaders and the public, it might be considered as a possible alternative for prototype manager.

A crucial issue in the political success of ASAP management is public acceptance. Most, if not all, ASAP grants have provisions for disseminating the objectives and nature of the program to the public through the mass media. These public relations efforts should not only aim at educating the public, but also toward inducing favorable attitudes and basic support for the program. This pertains not only to the public but to professionals affiliated with the program and to the DWI offenders themselves.

Excessive enthusiasm in hunting down convicted DWIs as "killers" could generate a counterproductive backlash of guilt, anger and hostility as they are processed through the program. System training should not be conceived as a series of cleverly placed commercials with cute gimmicks to score points; it should be more broadly conceived as a continuing effort throughout the life cycle of the program to educate all participants and foster favorable attitudes based on balanced understanding of the advantages and limitations of proposed programs.

Turning to technical management, we have, right off the bat, the problem of handling an interdisciplinary team. Lawyers might resent being directed by "the cops," judges might chafe at being lectured on human behavior by a "head shrinker," and all might be put off by a "sawbones." No one individual can be expert in the spectrum of skills required in ASAP broadband efforts. The community management structure should be skilled in analogous interdisciplinary projects, where possible, and should be able to delegate responsibility to each professional area with relatively little technical intervention except for the essential administrative interface.

A related problem, mentioned earlier in this chapter, is that no managing group or municipal agency will be able to find all required skills under one

roof. ASAP support will have to be farmed out to competent service groups in the community, literally to stand on the shoulders of the community. In the Santa Monica prototype, rather than go into the hot line, cab pickup, and clinical referral business ourselves, we made arrangements to have these support activities performed by existing hot line, cab, and alcoholic referral groups. There is no sense in trying to re-invent the wheel all by yourself, and we found such community support to be more cost-effective than trying to juggle all these balls and hoops at the same time. However, since we had individuals at USC experienced in working with drinking drivers in the class and group therapy setting, we took advantage of existing local talent and enlisted them in the Santa Monica program.

Just what sort of a role should ASAP management strive for in directing the program? The role should be responsive to political as well as technical considerations, it should reside above petty interdisciplinary disputes, it should take an authentic delight in the adventure of interdisciplinary problem solving, and it should support a rational and delegated division of labor in the technical program without continually butting in to tell the experts how they should run their part of the show. On the other hand, ASAP management should insist on performance accountability. This includes cost-effectiveness monitoring in all sectors of the program and performance feedback.

As mentioned briefly earlier, we developed the notion of real time management control for our demonstration program by requiring all participants to provide formal feedback for every significant encounter with the program. This enabled us to monitor professional and subject reaction to the program, and to intervene when appropriate. For example, each interview required a

simple form to be filled out by the interviewer and interviewee; each class session required individual and instructor questionnaire feedback evaluating the class experience; the same was required for group therapy sessions; and each use of the hot line and the cab pickup service had simple, standardized evaluative feedback (see Volume 2 for actual forms). The standardized forms were generally one page and required only a few short responses. They were easy to tabulate and reduce in a form enabling us to spot trends or smell trouble if it arose.

Although the forms were a kind of "pain in the neck," they had the added merit of reminding counselors, group leaders and subjects that management or the "establishment" cared, and that their experience and reactions were of continuing interest to others. The feedback forms also helped ensure that the work got done in the prescribed manner. A major benefit is that subjects and middle management were also able to participate in the management process in a significant manner for each critical event. As such, the proposed approach represents participatory management at all program levels.

The planning functions described in earlier sections are essentially management responsibilities. In ASAP planning, there is the critical requirement of satisfactory phasedown of DOT federal support and phaseover to a self-supporting community arrangement. The multifarious organizational planning in the ongoing ASAP effort and in phaseover planning are outlined in Table 1.* This table reflects planning problems encountered in developing new information systems technology, and although it was developed for generic organizational planning, most items are pertinent to ASAP development and community phaseover.

*Willmorth, N. E., System Programming Management, TM-2222, System Development Corporation, Santa Monica, California, 1965.

Table 1. Factors in Organizational Planning*

Influencing Factors	Product Plans	Process Plans	Organizational Plans
Objectives and Policies	Is the product commensurate with the stated objectives of the enterprise? What are the mission and objectives of the product? What needs does it satisfy? How will it be employed?	What is the policy toward standardization? What is the desirability of expanding capacity or technology? What are the objectives of this process? What will it do?	What are the growth possibilities, operating environment, and customer desirability of the area? What objectives must the organization serve?
Resources	What resources (personnel, machines, materials, information) are required? Are these available? Where? Does anyone have special knowledge or experience with this product?	What resources (men, machines, tools, materials) are required? Will men have to be trained to do this job? Machines acquired? Tools developed? Who knows the process and can show others?	Should an existing organization assume the project, or should a new project be created? What are the skills, jobs, and positions to be filled? The tasks to be accomplished? Are there organizations that can serve as sources of supply of expertise? How many people will have to be acquired, transferred, trained? When must they be available? When can they?
Technology	Is the product within the state-of-the-art? Are any innovations required? Is the application a well-known one? Have we produced one like it before?	Is this process within the state-of-the-art? Is this an existing, tried procedure or is it a new one? Will any methods have to be developed?	What organizational strategies are possible? What kinds of units are needed? Will new jobs have to be created? New kinds of organizational units?
Change	Are frequent changes in the product expected? Is it a new application? Are there likely to be breakthroughs in this area of application? Are any promised innovations likely to fail? Is an evolutionary plan adopted? What major additions or changes are expected?	Are there any processing changes planned or expected? When? What will their impact be? Is this a stable area of applications or is it a rapidly developing one? If new tools are being developed or machines acquired, when will they be available? What will be the expected life of tools and techniques developed here?	When will major organizational changes occur? What will be the rates of build up and phase down of various activities? How may individuals and responsibilities be shifted to meet varying conditions?
Performance and Quality Requirements	Are performance requirements realistic? Can they be met? Are criteria of successful performance given? What are they? Are test methods available and feasible? Who is the final arbiter of quality? What are the product acceptance procedures?	What productivity rates are expected from the process? Men? Machines? What are the criteria of good or successful performance? Are any substandard tools or techniques being used? Who will evaluate the process? How?	What evidence is needed to tell whether an organizational arrangement is working out appropriately? What are the responsibilities, duties, authority of each job position? Relations to other positions? Organizations? What are the personal qualifications needed for the job?
Contingencies	What is to be done if the product fails or proves infeasible? Are there other items that could be substituted? Should a back-up program be undertaken?	What is to be done if a process or approach proves infeasible or uneconomic? How soon, or at what points, must decisions be made to change or go ahead?	What shall be the direction of organizational shift if the various inefficiencies appear? Are there persons designated to assume positions of leadership if supervisors or key personnel separate? What is the order of succession? Are all jobs covered?

*Adapted from Willmorth (1965).

Table 1. (Continued)

Influencing Factors	Facility Plans	Personnel Plans	Developmental Plans
Objectives and Policies	What is the relation of facility plans to the growth and expansion plans of the organization? What policy should be adopted regarding construction methods and space requirements? What objectives are sought in housing men and machines?	What are the policies toward recruitment, transfers, career guidance, compensation, fringe benefits, and personnel practices and procedures?	What developments will advance the objectives of the enterprise (a) in the main area of interest, (b) diversification goals, (c) toward markets and customers, (d) methods of solicitation and marketing?
Resources	How much space and of what kind is needed? Are adequate facilities available? Are special environmental control measures necessary (air conditioning, heating, noise abatement)?	What are the numbers and types of personnel skills needed? What kind and degree of training is required? What is the labor market state of competition?	What capabilities does the enterprise have in supporting development: financial, personnel, methodology, technology?
Technology	What structures and layouts would be best to satisfy the needs? Are special facilities (security, environmental control) necessary? Must they be built? What is the relation of the facility to customers, information sources, personnel supplies?	What is the state of educational practices and plans for these skills? Are other enterprises developing experienced personnel in these areas?	What are the future possible areas of application? What must be done to prepare for these and for future developments?
Change	Are there plans for future expansion and change? How fast will the organization grow? Decline? Is there room for expansion?	What are the plans for growth, opportunities for promotion and careers?	What are the likely areas of technological innovation and advance? What are the likely future trends in social, economic and political conditions as well as technological? What are the likely areas of decline?
Performance and Quality Requirements	How adequate are existing facilities? Does the layout foster efficient flow of work? Can related activities be located contiguously? Are adequate power, transportation, supplies available? Are maintenance costs satisfactory?	What are the requirements for performance evaluations? Are there precisely stated criteria of required performance levels for all jobs?	What factors influence development and how does the enterprise stand in relation to these? How effectively is its present plan for development being carried out?
Contingencies	If facilities prove too small, is there room for expansion? If facilities prove unsatisfactory, where will the activity move or how will the facility be improved? If the project folds, what disposition will be made of the facility?	Are there contingency plans for personnel budgets turnover rates, growth rates, training plans and curricula, personnel policy and procedures, employee benefits, compensations, job descriptions, etc?	If developments fail, or prove unsatisfactory, what shall be done?

1.5 COMMUNITY TEST AND EVALUATION

Community test and evaluation also poses many unprecedented and challenging problems. Local ASAPs, as mentioned earlier, are fundamentally experimental prototypes; they are living experiments in the real world. The challenge is to work out acceptable forms of participatory community experimentation. We are only beginning to scratch the surface of this new form of social experimentation in the various disciplines in social science.

On the one hand, the principles and practice of scientific method are required, at least in some form, and on the other hand, the jump from laboratory to the real world involves loss of experimental control and the contamination of empirical findings by unknown and immeasurable influences. Complicating the dilemma further is the extension of scientific method and procedures to all participants, who, at various times, act as subject and experimenter. The key to the way out of this dilemma lies in the approach used for community test and evaluation.

Although progress in real world experimentation is still primitive, we have gleaned valuable guidelines from systems experience. A crucial lesson is that results of test and evaluation should lead to corrective action. That is, testing should not be done merely for the sake of developing new, abstract knowledge, but for the sake of improving the system and ultimately improving the human lot. This means that results should be useful for decision-makers and participants. As such, tests and results should be understandable and easily communicable in an intellectually honest form.

Useful measures should accordingly lead to policy improvements, more realistic aspirations, improvement of community doctrine and procedures,

elimination of system errors, more meaningful interpretation of system performance, and improved system cost-effectiveness. Test results should also lead to improvements in testing technique. And testing should be responsive to evolutionary system changes, compatible with new system configurations and new system problems.

In the ASAP context, system test and evaluation is extracted from the information subsystem. Reliable and valid social indicators need to be developed in processing DWI offenders so that arrest rates, totality rates, injury rates, blood alcohol levels, situational context, court processing, DWI diagnosis, attitude changes, treatment effectiveness, recidivism, and public response are tracked, recorded, reduced, analyzed, and disseminated on a timely basis to ASAP principals and ultimately to the public.

The collection, collation, reduction, integration and analysis of diverse data from the police, the courts, counselors, teachers and therapists is no small task. ASAP management must impose understandable and well-documented standards in defining the data and specifying quality control feedback for errors, omissions and ambiguity. Except for the most simple forms, some form of pilot testing is advisable. As one wag has put it, anything that can go wrong will go wrong. The first data returns in the field program should be carefully screened to nip data contamination in the bud. If these steps are not rigorously enforced, GIGO (garbage in-garbage out) will prevail.

In the Santa Monica program, we took a variety of steps to ensure more useful, reliable and valid data. Most data forms were set up as standardized questionnaires. The questionnaires were designed to be short and sweet and hopefully self-explanatory. For more complex forms, explanatory manuals or

handbooks were used. In designing and determining the usefulness of our forms, we went through an exercise with each one. As shown in Table 2, we spelled out the objectives of each form, the proposed analysis, format of results for users, and manpower and data processing costs for achieving results. This exercise resulted in dropping and modifying some forms and in giving us an overview of total data requirements, including new cost-effectiveness estimates.

Since time constraints precluded extensive pilot testing of all forms, we used the initial applications as trial runs and modified forms and items that generated trouble. We also processed most forms as we received them for real time management purposes, including participant feedback. This compelled us to test our reduction and analysis procedures concurrently with the demonstration, and helped us to iron bugs out of our own handling of the data. Thus, the prompt and ongoing collection and analysis of the data served as an educational process for everyone.

This real-time approach to test and evaluation represents a use-as-you-go approach. Instead of data being collected for post-mortem analysis at the end of the project, which is the hoary, time-honored approach, it is used as feedback for the program in progress. This represents a radical change in the way we conceive and handle the collection, analysis and evaluation of data. It means that data is primarily justified by its value for directive action, and only secondarily by its value for reflective contemplation after the game is over.

We employed another technique to enhance grass roots motivation in evaluating program effectiveness. In all group sessions, didactic and group therapy, we laid down the requirement that the last 10 or 15 minutes be

Table 2. Data Analysis Plan

1. Form:
2. Objectives of Analysis:
3. Proposed Analysis:
4. Format for Ongoing Results
   Title:
   Description:
5. Format for Final Results
   Title:
   Description:
6. Estimated Pages for Results: Report ; Appendix
7. Estimated Costs:
8. Comments:

devoted to an open debriefing on the effectiveness of the group experience. This technique is analogous to team debriefings often conducted in military and aerospace system training programs. These debriefings tended to make group leaders and DWI participants more aware of individual involvement, group cohesion, group problems, and overall effectiveness. We believe that these evaluative debriefing discussions contributed to more thoughtful and more conscientious feedback from participants.

The entire approach to ASAP system test and evaluation should be strongly influenced by the ultimate users of test and evaluation results. These users include the police, the courts, diagnostic and rehabilitation professionals, the DWI subjects, community leaders, and ultimately the public. Each should be consulted for credible and useful performance measures for influencing their decisions and attitudes. Consequently, an elitist approach to test and evaluation, while presumably rigorous and scientific, can be self-defeating.

Results need to be directly communicable to the various users, and should lead to timely, corrective action to improve the cost-effectiveness of the ASAP system. This often means using one page or single displays for basic results. Straightforward box-scores with simple descriptive statistics are the presentations of choice. In preparing reports for major organizations, whether military or non-military, profit or nonprofit, it is axiomatic to prepare two reports--one short and sweet and to the point for the "busy" executives, and the long, tedious report, often designed for the professional nit-picker. The rationale for the executive version is that these busy men just don't have the time to read through long-winded jargon and distracting tangential issues. In public experimentation, we would do well to treat all recipients and users of evaluative reports as if each were an executive, a Very Important Person. Although summaries can not be complete, they can be honest and balanced. Participatory public programs require participatory knowledge of results.

1.6 SUMMARY AND CONCLUSIONS

Comprehensive ASAP Planning: Comprehensive planning is viewed as essential for the success of complex, pioneering ventures such as community ASAP systems.

Sequential Stages of Planning: Comprehensive planning includes four major overlapping stages: policy, strategic, tactical, and operational planning.

Participatory ASAP Planning: ASAP planning should be broadly based, involving inputs from community leaders, participating agencies, expert panels, and others for necessary public acceptance and support.

ASAP System Development: The ASAP planning activity is seen as a community system development process, proceeding from advanced planning to subsystem design and production, to system integration and installation, to the operational stage, and culminating in self-sustaining community phaseover.

Subsystem Analysis: Three major subsystems may be discerned in ASAP system development: personnel, facilities and the information subsystem.

Cost-Effectiveness Methodology: While the systems approach is still in its early stages, particularly for community systems, it is claimed that it represents the most cost-effective body of doctrine available for ASAP management. Extensive precedent exists in related programs in the Federal government, such as Planning Programming and Budgeting Systems, for providing methodological guidance to ASAP management and planning.

Interdisciplinary ASAP Management: ASAP management is a highly interdisciplinary endeavor, marked by political and technical aspects, which pose many unique problems.

Top Management: Top ASAP management, and ultimately self-sufficient community management for that matter, may reside in any one of a number of alternative municipal agencies, including police, court, public health or educational areas. The particular choice for top management is contingent upon the unique conditions and requirements of each community, and should be made accordingly.

ASAP Division of Labor: ASAP management requires delegation of many program tasks to other community agencies for successful implementation of a broad-spectrum program. Where established services are available in the

community, these should be carefully considered before embarking on a program to duplicate such services within the central ASAP structure. The ASAP can not afford to be a jack of all trades.

Management Feedback: Test and evaluation is a powerful management tool for monitoring many concurrent, distributed activities. With continuing feedback from all key activities, ASAP management can have the information necessary to intervene when and where appropriate with minimal interference to those parts of the program functioning effectively.

ASAP as Social Experimentation: Community test and evaluation involves many pioneering problems associated with real-world social experimentation.

Purpose of Test and Evaluation: A key to successful social experimentation lies in linking program feedback and results directly to corrective action to continually improve the overall program. The primary purpose of test and evaluation is to enhance ASAP performance when and where it is needed.

Public Accountability: Public programs, such as ASAP efforts, should be directly communicable to all participants and to the public. Program test and evaluation efforts should be designed at the outset to be amenable to widespread dissemination and use without sacrificing the integrity of the results.

Test Development: The test and evaluation effort should itself be tested in pilot runs for cost-effectiveness in a credible setting, with ample opportunity for redesign. Data forms and procedures subject to widespread use should be as short, simple, and self-explanatory as possible to minimize errors and omissions.

ORIGINAL PROJECT DOCUMENTATION

Volume I — Guidelines for Developing and Implementing Community Programs to Assist and Re-educate Drinking Drivers

H. Sackman

Volume II — Community Demonstration Plan to Assist and Re-educate Drinking Drivers

H. Sackman, O. Didenko, M. Thomas

Volume III — Results of the Santa Monica Prototype Program to Assist and Re-educate Drinking Drivers

H. Sackman (Ed.), O. Didenko, M. Thomas, T. Tang

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January, 1972

END