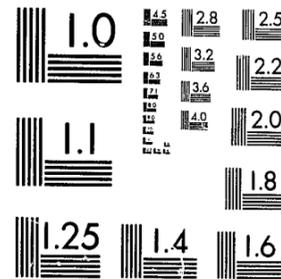


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Community Corrections Institute



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COMMUNITY CORRECTIONS

INSTITUTE

NCJRS

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PREPARED BY
DEPARTMENT OF INSTITUTIONS
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And lastly to the National Training Institute for being a model from which to borrow ideas and staff.

Carolyn P. Zimmet
Project Director

October 1978

PREFACE

The Community Corrections Institute, held in Billings, Montana, December 11-16, 1977, brought together professionals from the six states of Region VIII; Colorado, Utah, Wyoming, North Dakota, South Dakota and Montana, to explore alternatives to incarceration. Many of the states were experiencing overcrowded conditions in their adult correctional institutions and the subsequent problems such conditions create.

Traditional methods, such as expanding services in the prison, hiring more probation and parole officers or improving existing services and facilities has not been enough. Even in this time of return to more conservatism in Corrections, there is also a definite move toward developing productive, responsible citizens rather than reinforcing undesirable criminal behavior. Institutionalized overkill is an undermining force which works against the natural socialization ingredients of family, school and community. It is necessary to provide a means whereby deserving individuals are given an opportunity to change and repay society simultaneously.

Of primary concern in the development of Community Corrections in Region VIII is the vast number of miles in each state and the quantity of resources available. For the most part these states are rural with specific needs in relation to the adult offender. The Institute was directed toward providing an experience which would expose participants to the basic skills necessary to develop and implement community programs which could have an effect on the need to construct more prisons.

The sessions included information addressing the issues of planning, management, budgeting and finance, programming, evaluation, staffing, legislation, volunteers, legal issues and community relations.

The Institute was conducted with a sense of urgency as four of the six states had no alternative programs for adult offenders other than probation and parole and the prison population in Region VIII had increased 24% in 1975, compared to a total increase of 11% for the entire United States, with no slacking of pace anticipated. To foresee a disaster is to facilitate its prevention. An obvious course of action was to provide interested professionals an opportunity to gain knowledge of potential community programming and the skills to implement such programs. An additional benefit was an exchange of information and ideas among

participants. It was expected there would be an awakening to Community Corrections in each of the states as a result of the Institute.

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INTRODUCTION

Considerable concern has been raised across the nation regarding the problems of institutional overcrowding. The pervasiveness of the problem within LEAA Region VIII and the impelling need to address the concern led to a five day Institute directed at developing community-based corrections as a response to institutional overcrowding. The papers in this manual were developed as presentations at the Institute and topics therein serve the needs of both administration/management who are responsible for planning and development and line level personnel who are responsible for actual implementation. It was expected this type of approach would provide the participants with new skills and abilities in planning, policy development, resource allocation, implementation and evaluation of community-based correction programs.

Participants ranged from law enforcement to County Commissioners, Legislators, Administrators, Program Directors and line personnel. With such diverse and broad based representation it was felt there was an excellent opportunity to effect meaningful change regarding institutional overcrowding and would have a positive influence on correctional programming within the Region.

Of primary concern in the development of community corrections in the Region is the vast number of miles in each state and the paucity of resources available. This uniqueness contrasts with more urban states where resources are readily available and within reasonable accessibility. The Institute was conceived with a number of identifiable goals which would address the uniqueness.

1. To increase knowledge of potential community programming and funding services available to rural states.
2. To provide personnel in states without alternate programs to incarceration; a means of gaining skills necessary to establish programs within rural communities.
3. To increase the flow of communication among Criminal Justice personnel in Region VIII.
4. To provide an opportunity whereby personnel in Region VIII can exchange information and ideas.

Under provisions of the grant, six participants from each state were approved to attend. Participants were chosen by the State Planning Agencies of the six states comprising Region VIII. To ascertain the relevance of the Institute to a group with such diverse backgrounds and orientations, an evaluation questionnaire was administered.

Evaluation of the Institute

Results of the evaluation questionnaire indicated 97% of the participants attended 93% of the sessions. Participants rated the Institute "B" on a scale of "A" through "E". The 3% who attended less than 93% of the sessions rated the Institute "C" or below. It was generally felt five days was too long for an Institute and that there was a noticeable unevenness in competence of speakers. Even though participants came with varying expectations, most felt their expectation had been met. A least one participant from each state indicated they planned to formally encourage community corrections upon return to their home state. Followup has indicated several states have had either state-wide conferences or regional workshops and/or presentations, and all states have had some activity directed at promoting community-based corrections.

A second evaluation instrument was administered during the workshop and readministered via mail six months later. This questionnaire looked at specific issues such as recidivism, facilities, role of community corrections, community resources, accreditation, evaluation, programming and management. Results of this instrument are as follows:

- There was an increase on the second test in those who saw themselves as liberal and also those who marked moderately conservative or conservative. Those who chose middle of the road the first time tended to make specific choices the second time.

	<u>First</u>	<u>Second</u>
Liberal	17.4%	20%
Mod Liberal	41.4%	35%
Mid-road	20.7%	15%
Mod Conservative	17.2%	25%
Conservative	3.4%	5%

- Most (90.5%) felt conferences are important. There was an increase of 25% from the first questionnaire. (65.5%; 90.5%)
- 44.8% felt halfway houses were better off in low class areas the first time; only 38.1% felt so the second time.
- Most now feel there should be a close relationship between halfway houses and existing community agencies. This is up 42% from the first questionnaire. (60.7%; 90.4%)
- Most (89.7%) feel volunteers are useful, but on the second questionnaire there were 4% less (85.7%) who felt so.
- At the time of second testing fewer (6.1%) felt Community Corrections is the road of the future. Responses were more conservative than before. 9.6% answered the second test more conservatively. (96.6%; 90.5%)

- 96.3% felt graduated reintegration was as effective as prison rehabilitation compared to 89.5% on the second test- again indicating a more conservative response the second time.
- More (90%) now feel halfway house capacity should not be over 30. On the first test this was 82.8%.
- Most felt recidivism was not the best measure of program success. There was no noticeable change. (72.4%; 71.4%)
- There was a noticeable shift on the second test that an explanation of legislative and political structures were very important as opposed to important. A rise of 44% from 57.1% to 90.4% was indicated.
- Most felt (90+%) on both tests that an understanding of the legal and judicial roles in community corrections is important.
- Knowledge of management techniques was rated very important by more respondents on the second test (61.9% compared to 55.2%) Most felt (90+%) that management knowledge was either important or very important on both tests.
- More on the second test felt knowledge of volunteerism and community resources was important or very important. However, there also was an increase in those who felt it was unimportant. Those expressing no opinion on the first test tended to respond conservatively.
- Fewer (9.5%) on the second test felt information on selling community corrections to the community was important (100% felt so on the first test; 90.5% on the second). However, 90.4% on the second test felt information on locating and obtaining a facility to house the program was very important or important compared to 75.8% on the first test.
- On the second test 8.5% more felt information about writing grants and proposals was important or very important. Conversely, 8.7% fewer on the second test felt information pertaining to budgeting and fiscal affairs was important or very important.
- Three fourths of the respondents on both tests feel it is necessary to accredit community corrections programs.
- Over 90% felt knowledge of treatment programs important or very important on the second test. This is down 2.4% from first test.
- An upward shift of 11.2% felt information about the offender as a human being was important or very important on the second test. (90.5%; 79.3%)

- There were 13.1% fewer on the second test who felt information on evaluation of programs was important or very important. (80%; 93.1%) However, there was an upward shift of 8.6% who felt it very important.
- There was a minor increase of 2.2% who felt information on contracting with the client for behavior change was important or very important.

Organization of the Manual

The major thrust of this publication is focused on community-based corrections and the issues associated with the concept. Collectively the papers express much of what is known about community corrections, and in addition, provide the reader with "how to" knowledge.

The first four papers address management issues which are critical to community corrections programs. Through effective management, credibility is established both within and without the program. Delivery of services to clients is strengthened and evaluation of programs is made possible by organizing and implementing an effective management system.

The next four papers support concepts developed in the Management Section. Legislators and others are questioning what corrections programs are doing and how well they are performing their mission. Developing data, evaluating programs and accreditation are areas which serve in assessing accountability of specific programs. This section also speaks to management of community corrections in regard to prisoner rights. This is an issue which has gained momentum within the prison in the last decade but has only recently become an area of concern in residential corrections centers.

The subsequent five articles describe various ways community corrections personnel can deal with the community, bureaucracies and legislators to establish a climate which is receptive to and supportive of rehabilitation of the stigmatized within the community.

The next two papers describe specific on-going programs for adult offenders which emphasized programming and deemphasize lockup facilities.

The final four papers deal with the client as an individual and those services provided within the community corrections center addressing client needs.

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EDUCATIONAL ISSUES AND COMMUNITY RESIDENTIAL CENTERS

Norman F. Chamberlain

The educational issues related to social rehabilitation programs are rooted and grounded in an understanding of the stigmatized and socially disadvantaged individual and his or her perceived relationship to self and society.

" Every person who enters a life of crime does so for very personal reasons. We must look at the factors that predispose one particular person to commit an anti social act ..Until we come to grips with this and understand this, we are not going to be able to work effectively with criminals. You first have to stop seeing criminals as a class and being to see them as individuals, understand their personal problems, personal motives, personal circumstances, and then provide a criminal with the personal resources and the motivation to do something personally to change his situation, so he doesn't have to commit another crime..Until society itself takes responsibility for crime and criminals, nothing much can be done - by policemen or rehabilitators.. Until we take personal responsibility for doing something about crime, we have no choice but to become victims." 1

The same dimensions and dynamics that apply to the criminal offender and the process of rehabilitation also apply in a modified form to the alcoholic, the addict, the mental health client, to delinquent and dependent youth, and other miscellaneous categories involving social stigmatization. Wherever one encounters an individual or isolated group of outlaws or social outcasts and attempts to deal with their problems and needs, one is forced to deal with the same primary facts and factors. All of these categories share the common rehabilitative need for the supportive services in a structured living environment that are typified by the community residential center.

Background to Community Residential Services

Social rehabilitation is a growth industry that is expanding at an explosive rate. This is particularly true in the area of community based residential treatment. The 1968 International Halfway House Association Directory² listed less than 300 residential centers in the United States serving alcoholics, addicts, dependent and delinquent youth, mental health and mental retardation clients, and adult offenders. The 1978 IHHA Directory will list more than 3000 such programs. In Washington State, more than 160 agencies have been identified that provide over 8000 residential placements for those requiring social rehabilitation services. The economic value of these services in this state has been conservatively estimated at more than \$32,000,000 annually.

When this value is multiplied by the national figures it reveals an imposing industry approaching \$600,000,000 each year, which affects the lives of hundreds of thousands of socially handicapped individuals. Paradoxically, this new field of human services has grown so rapidly and emerged so suddenly that it suffers from many intense growing pains and problems that are characteristic of any new profession or field of human service. Interestingly, almost all of these areas of concern can be considered as educational issues, if one defines education in its broadest sense as preparation for life.

In preparing this paper, in addition to doing the necessary bibliographic preparation, the writer conferred with and sought input from twelve other colleagues and associates in identifying the critical educational issues. These insights and inputs are developed in the following pages under four broad topical classifications:

1. Critical Issues Related to Conceptualization and Content.
2. Critical Issues Related to the Client.
3. Critical Issues Related to the Community.
4. Critical Issues Related to Practitioners and Professionals.

Because of the necessary brevity of this paper, the critical educational issues in each of these categories will merely be identified without a elaboration. There is, of necessity, some degree of overlap and duplication between categories with resultant redundancy.

Critical Issues Related to Conceptualization and Content

1. Rehabilitation versus Retribution. One of the key issues is to develop and implement educational and public policies which clearly spell out the degree of help or hurt society wishes to impose or extend to the deviant individual. A careful study of the root words contained in "education" and "habilitation" 3 indicates that they convey a similar connotation - to gain or improve in ability, or to qualify oneself in life. Many of the socially handicapped have never been properly habilitated (educated) in the first place (90% of the inmates in Federal Youth Centers are high school and junior high school dropouts, and the majority behind their appropriate grade levels).4 Rehabilitation may then be a misnomer, as would the term re-education, to describe a person who has never been educated or habilitated in the first place. Incarceration versus Decarceration. The same question may be posited in the context of the degree of loss of freedom or institutionalization society will exact of the deviant, and whether the emphasis will be on retribution, punishment, and deterrence, or on rehabilitating them to become useful, functioning human being who are capable of being reintegrated into society. 5

2. Rehabilitation: Art, Science or Religion. There is a great deal of current controversy over what constitutes rehabilitation and whether it really occurs. 6 In the past rehabilitation has been associated with the experience of religious conversion. It has also been strongly identified with the humanistic tradition as a stage in social renaissance or psychological metamorphosis and regarded as the art of personal development. More recently, with the advent of behavior modification, mind control, psychosurgery and similar technologies, rehabilitation has come to be viewed as the result or end product of a scientific method. In truth, the concept of rehabilitation may contain elements of art, science, or spiritual experience, all of which are legitimate areas in the province of education.

3. Philosophy of Service. Those who work in the field of rehabilitative services need to epitomize their professional objectives in a clear and concise philosophy of care and concern for their clients that integrates the essential elements of theory, practice and ethic into a rational statement of motive and purpose.

4. A Body of Fundamental Knowledge. Every profession is based upon a fund of knowledge that can be convincingly documented. With the publication of Standards and Guidelines for Halfway Houses and Community Residential Centers (Mangogna and McCartt) in 1973, and the Training Manual for Community Residential Centers in 1975, documentation is slowly being developed. It is critical that this process be expanded with expedition.

5. Education in Standards of Performance and Accreditation. The Commission on Accreditation for Corrections was brought to birth in 1974 and has now produced the standards and procedures that will permit community residential centers to become fully accredited programs. The Joint Commission on Accreditation for Hospitals offers a similar opportunity to drug and alcohol rehabilitation programs. There is a great need for program managers to be trained to be able to implement the accreditation process.

6. Apolegetics: Dealing with Critics and Critiques. As the body of fundamental knowledge and standards of accreditation are developed, it will become possible for those in the field to adopt a less defensive posture and be better able to answer their opponents in terms of objective criteria and documentary evidence.

It is important that a national exercise in apologetics and polemics be launched at the earliest practical time in order to correct erroneous conceptions and to stimulate positive support for the potentials inherent in the dynamics of rehabilitative programming.

7. Models. It is essential that community residential centers avoid over identification with medical or mental health models of treatment or client care. Both of these models are under heavy attack as being inadequate to deal with the conceptualization of the rehabilitative approach. Several leaders in the field are in the process of designing and developing what may be called educational models that will avoid stigmatizing clients with labels such as sick, unbalanced or abnormal, and replace these with more meaningful and appropriate concepts such as life preparation, skills development, vocational and occupational training, etc.⁷ The brightest hope for the future in many minds lies in developing a workable educational/rehabilitational model.

8. Correctional/Rehabilitative Education. Few professional educators recognize that correctional education is a highly developed specialization that requires advanced training in methodologies appropriate to the rehabilitative setting.⁸ Correctional education must address itself to two settings - the inside or institutional setting, and the outside, or community residential setting. Rehabilitative education must be as much a reality for the mental health/mental retardation client, and the alcoholic and addict, as it is for the adult or juvenile offender. Teacher specialists are the key to educational success in all of these social service areas.

Critical Issues Related to the Client

Regardless of the social disability category or stigmatization classification, all client groups have need for a clarification of educational issues with respect to the following concerns.

1. Habits and Habitats. There is a great deal of discussion and debate over the "causes and cures" of various social disabilities, particularly in the area of chemical or substance abuse. On the one hand there are those who hold that alcoholics and addicts are victims of a habit that has become so chronic as to be pathogenic, of the nature of a disease or illness. Others hold that the true cause is cultural or sociological, and that the disorder must be dealt with in terms of the habitat or sociological/cultural milieu. Some hold that alcoholics can return to social drinking by learning new social and control skills.

Others maintain that the habituated person may never again use the dependency substance. This issue must be addressed as soon as possible to prevent the further destructive effect of uncertainty on the part of clients who are still victims and are not able to handle these higher issues of rationalization and therapy.

2. Prescription Packages versus Personalized Plans. Over reliance on the medical model has led to the development of neat mass prescriptive package approaches that have sometimes been doled out like medicine to victims of an epidemic. These mass treatment strategies have been singularly unsuccessful, but are still widely employed in situations where program administrators or the general public demand or desire a single simplistic solution. Like the "back to basics" movement in traditional education, there are those who would pontificate slogans and formulas (Alcoholics Anonymous and Anabuse; Lock the door and throw the key away). One cannot over emphasize that the most responsible research indicates that the greatest hope for genuine rehabilitation lies in individualized planning and programming. Personalized plans such as the Mutual Agreement Programs (MAP), sponsored by the Department of Labor, and other variations need to be more widely utilized and intelligently employed.

3. Trends in Treatment. Rehabilitative practitioners need to be aware of the newest and latest advances in treatment theories and techniques, while at the same time they must avoid becoming victims of the latest fads and fashions. Mechanisms must be developed that allow for creative experimentation in new and novel approaches without violating client rights, public confidence, or program integrity.

4. Selecting Target Populations: Screening Admission and Selection. The most recent and reliable research indicates that abandonment of the medical/mental health models, coupled with the utilization of individualized and personalized program plans will assist the practitioner in avoiding the error of trying to be all things to all people, and to provide something for everyone. Specialization is critical to success. Research indicates that there is a program that may help almost anyone, but there is no such thing as the program that will help everyone. "Successful rehabilitation appears to be possible only when offenders who can be helped are matched with programs that fit their needs".⁹ It is essential to recognize that not all persons may want help or may benefit from individualized programming. There are career criminals and habitual criminals who do not want to change. "He chose to be a criminal because he saw something

beautiful in the hard, fast, noisy life of the petty thief. He never felt that he should harness his talents for some greater reward; he never acknowledged the possibility that his life ought to have meaning beyond the immediacy of drugs and wenching..the world did not conspire to keep John Allen a criminal, for no matter how often he was convicted, he still found hands outstretched to him".¹⁰

5. The Legitimization of the Place of the Rehabilitated Person in Society, High Education and the Professions. All of the barriers and obstacles to full reintegration into a normal and meaningful life must be removed. There has been encouraging progress in this regard, but much remains to be accomplished.

Critical Issues Related to the Community

Concerns related to public awareness, acceptance and support are crucial to the future of community residential centers and their impact upon the field of human services.

1. Public Education. Lurid headlines and outrageous stories about vicious criminals, irresponsible alcoholics, demented addicts, crazed mental health clients, genetically inferior mental retardates, and syrupy stories about misguided youth and wayward adolescents combine to give the general public a very distorted view of the realities in the field of social rehabilitation. The natural proclivities of the media to maximize the extraordinary for new value and to minimize the ordinary as not interesting contribute to the public's unclear and uncertain perceptions of precept and practice in dealing with the deviant. A single article dwelling upon the negative aspects of a single case can counter-balance the less commanding results of a thousand minor success stories. An article such as "Inside the Juvenile Justice System: How Fifteen-Year Olds Get away with murder"¹¹ makes the public's blood run hot and cold at the same time. Positive press that is not factual and based on reality can be as damaging and detrimental as critical commentaries because the public is given a false impression that may lead to cynicism or unrealistic expectations.

Public education is much more than public relations. In a democracy, the understanding and support of the citizenry is essential in any program affected by political pressure and public policy. No area is more of a goldfish bowl for public scrutiny than the field of social rehabilitation, and it is imperative that the public be correctly informed as to the basic facts and central issues. Since public education for the most part occurs in a non classroom setting and is the result of a multiplicity of impressions from a wide variety of sources,

it is especially difficult to achieve and forever remains an abiding educational issue and concern.

2. Program Environment and Physical Facilities. Perhaps the most obvious point of contact with the public stems from the fact that residential programs are conducted in facilities which are a physical reality that cannot be hidden nor denied in the communities where they are located. Building codes, zoning ordinances, land use planning, environmental impact studies, and health, fire and safety concerns are all part and parcel of the package of problems that surround site and plant considerations. Education must be done not only with the general public, but with the bureaucracy and public officials as well. The most difficult and ultimately decisive decisions that spell life and death to residential program survival are most typically settled on this turf.

3. Public versus Private Program Operation. There has been a long standing debate over the question of who is better equipped to provide residential services, the public or private sectors. This is an educational issue in that practitioners in both sectors must be made aware of the role and relationship that each party has to play in the continuum of social service delivery. The input and influence of both public and private sector programs are necessary to the provision of adequate services to the community, and the efforts and energies of both need to be integrated into a single service delivery system.

4. Program Effectiveness. The public must be informed as to the true facts regarding social rehabilitation programs. Residential services are the most costly, complex, and controversial to administer. The issue of incarceration versus decarceration hangs not only upon program effectiveness but cost/benefit analysis and cost/effectiveness factors. Most of the controversy regarding the public/private issue centers on program and cost effectiveness concerns. Funding and financing residential programs adequately are the key to present success and future survival.

5. Accountability: Evaluation, Assessment and Research. The single most predominating demand of the public and public officials at the present time is program accountability. Such accountability concerns not only dollars and cents, or program inputs, but also results and consequences, or program outputs. The critical educational issue is how does one measure success or failure. What are the criteria for determining whether or not a program is truly effective and accountable? There is a great need to develop more useful and usable instruments of evaluation, better methods of assessment, and more reliable research designs

and models. It is in this area that the academic community, higher education in particular, can provide leadership in addressing this fundamental issue of accountability.

Critical Issues Related to Practitioners and Professionals

It is when one begins to study the staff and personnel policies and practices of social service agencies that the full impact of the inherent problems in the social service delivery system become most apparent. The level of education, experience and expertise varies so widely from person to person and place to place as to make any attempt at standardization or regulation seems almost impossible. A cluster of related issues centers around concerns regarding rehabilitation service personnel.

1. Competency. There is a definite need to demonstrate the competency of residential center staff to responsibly conduct the affairs of the program. Formal education and training are vital and necessary, but are not enough by themselves. Former clients and consumers in the system must also be included if a balanced approach is to be achieved. It is easy to measure formal education, and even experience in terms of time and training, but how does one measure expertise, the ultimate product of effective practice and personal development. The whole area of competency based learning and experiential education must be considered in addressing this issue.

2. Certification. A variety of efforts are underway to attempt to certify competency but this development is still in its infancy. Projects such as the National Training Institute on Community Residential Treatment Centers are attempting to provide advanced training and certification of personnel. The various agencies dealing with licensing, program approval and accreditation also are dealing with this concern. Many states, including Washington, have now developed and implemented the structure necessary to certify alcoholism workers. Similar trends are observable in corrections, drug abuse and juvenile justice programs. Who is to be certified, and who is to do the certification are vitally important questions that constitute a major educational issue.

3. Multidisciplinary/Multicultural Concerns. Since the clients who populate community residential centers represent a wide diversity of disabilities and socio/economic/ethnic backgrounds, it is important that human service personnel be able to deal with the clients in their cultural context and social milieu. Concerns ranging from linguistics to ethnic ethics are involved. Since the

problems of clients differ widely within any given cultural/ethnic group, the added dimension of special services for special disabilities is interjected, and the aspect of a multidisciplinary staff representing a range of professions and specializations becomes a factor. In these days of affirmative action, equal opportunity employment, and "hire the handicapped" campaigns the difficulties of blending and balancing multidisciplinary/multicultural concerns becomes an even great challenge.

4. Generalist/Specialist Concerns. The overriding issue in personnel development in a context of limited resources, and almost unlimited demand for services, centers on the question of whether it is better to train and develop generalists or specialists as a matter of educational policy. In the earlier period of community residential services, the generalist philosophy was overwhelmingly evident. As programs have increased in size, complexity and credibility, the expectations have also risen in terms of meeting the special needs of individual clients. Some of this concern can be addressed by referral to resources in the community. However, as the size of program populations increases, the desirability and cost effectiveness of "in house" services increases. This is especially true when many programs are considering adopting an educational model as their treatment approach. The result will be a new field of educational specialization that will no doubt be represented in the educational curriculum in higher education in the near future.

Summary

All of these educational issues and concerns are related to assisting the socially disadvantaged and stigmatized in their attempts to become better prepared to deal with life in the real world in a productive and personally satisfying way. All of these issues, then, have their proper beginning and ending in the focus on the individual life of the individual client, and in the place and part to be played by the community residential center in achieving these ultimate purposes of rehabilitation and reintegration of the individual into the human family.

"There are two things that can make a man cry,
Love and a jail cell.

"There are two kinds of freedom for me -
Freedom from the cell which holds me
And freedom from the cells and walls within me.

"My days in this cell are growing short-
The hurt, the suffering, the loneliness,
The hell I've been through is almost at an end
Soon, there will be no more bars in my way
But yet there will be. "12

FOOTNOTES

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THE MASTER MANAGEMENT MODEL

Norman F. Chamberlain

ABSTRACT

It is critical that agency administrators understand the relative position of their organization in current context, and know where they plan to go with it in the future. Because they often lack a historical or professional perspective, they are swept up in a tidal wave of demands and pressures that tax their energies and imaginations and leave them without a sense of direction or destination.

This paper seeks to provide the program administrator with a brief but basic background in the field of administration by considering the following topics: Management Theory and Theorists, Management Styles and Organizational Behavior Models, A Brief History of Management Methods and Practice and Maslow's Model of the Hierarchy of Human Needs. It then proceeds to introduce a comprehensive management model.

The Master Management Model provides the executive director or program manager with a comprehensive, coherent and consistent design for agency administration that is simple and practical. It divides agency operations into four stages which proceed in logical sequence from program development, implementation and operation to a refinement phase before repeating the cycle in an evolutionarily improved form. The Model identifies eighteen steps, which include functions or activities that are critical to agency operations, and matching systems or actions required for their accomplishment. Each Management Function seeks to answer the question, "What are we trying to do?" (Activity) Each Management System asks, "How do we plan to do it?" (Action)

The Master Management Model was developed by Norman F. Chamberlain during four years of teaching public administration at the University of Puget Sound. It has been field tested in hundreds of situations and it has proven its usefulness in four primary applications. First, it may be used as an administrative model and applied as a guide in operating an ongoing agency program. Second, it can be employed as an analytic method by which an existing program may be evaluated against specific criteria. Third, it can be utilized as a design for developing public policy or social strategies. Fourth, the model may also serve as a guide in writing grant proposals or agency work plans.

In the hands of a resourceful and imaginative executive, the Master Management Model can serve as a tool for micro or macro administrative applications ranging from a specific public relations project to a ten year feasibility study. If its potential as a management instrument is fully developed, it can make a positive contribution to make agency programs more effective and efficient.

THE MASTER MANAGEMENT MODEL

MANAGEMENT FUNCTION(ACTIVITY) "What are we trying to do?"	MANAGEMENT SYSTEM (ACTION) "How do we plan to do it?"
Stage I. THE DEVELOPMENTAL PHASE	
1. The Input Function	1. The Data Collection System
2. The Planning Function	2. The Data Synthesis System
3. The Proposal Preparation Function	3. The Work Program System
4. The Regulatory Function	4. The Accountability System
II. THE IMPLEMENTATION PHASE	
5. The Finance Function	5. The Fiscal Management System
6. The Organization Function	6. The Operations System
7. The Staffing Function	7. The Personnel Management System
8. The Physical Environments Function	8. The Facilities Management System
III. THE OPERATIONAL PHASE	
9. The Communications Function	9. The Communications System
10. The Control Function	10. The Systems Management System
11. The Decisionmaking Function	11. The Executive Option System
12. The Performance Function	12. The Service Delivery System
13. The Coordination Function	13. The Referral System
14. The Public Relations Function	14. The Information Delivery System
15. The Community Relations Function	15. The Community Support System
16. The Citizen Participation Function	16. The Volunteer Service System
IV. THE REFINEMENT PHASE	
17. The Evaluation Function	17. The Output Measurement System
18. The Evolution Function	18. The Progressive Change System

THE MASTER MANAGEMENT MODEL

Management Theory and Theorists

One weakness that is often apparent in analyzing the administrative or managements functions in a business or service agency is that all too often those who hold the power positions in the agency either have been promoted from within the ranks because of their abilities as professionals or practitioners, with little regard for their training or qualifications as administrators, or if they have received training, it is specialized in nature and related to a specific field. As a result, many who find themselves in such positions do the best they can do adequately perform their functions as administrators but with little general training or background in administration. This paper is an attempt to provide a brief introductory overview that may assist the administrator in designing a personalized plan for professional development. It is suggestive, not exhaustive, and should be considered a first step in creating a basic structure which will serve as a launching pad to more advanced management methods and techniques.

Traditionally, the words management and administration have been used interchangeably, as have the terms manager-administrator-executive. The fields of Business Administration and Public Administration are closely related and share many common concepts, much common literature, and myriads of common tools and techniques of the respective professions.

Basically management can be reduced to what is called the three M(3M) formula which is: $\text{Management} = \text{manpower} + \text{materials} \times \text{methods}$. Manpower refers to the human resources available to the manager, his reservoir of time and talent. Materials refer to the physical and economic resources needed to produce a product, or provide a service and include the money, machinery, raw goods and other resources needed to get the job done. Notice that we add manpower to materials to arrive at the sum total of our resources. Now we must multiply by our methods (management skills) to maximize our potential outputs (products) or outcomes (services).

The concepts of cost/benefit or cost effectiveness may also be considered as apart of the management equation. Here we must deal with the coined term "mini/max" which assumes that the ultimate ideal or goal is to minimize costs (human and material) and maximize benefits (human and material)

Sharkansky designs his model administrative system around a three phase progression that begins with inputs from the administrative environment such

as client demands and agency resources, and proceeds to process these inputs through the administrative apparatus where they are transformed by means of internal structures, decision, executive experiences and controls, identified as withinputs, until they emerge as outputs to the environment in the form of goods and services. Dye's model also has three components which he builds into a triangular construct in which the three elements, the environment, the political system and public policy, interface and interact with each other in a number of dynamic relationships which can be analyzed and used in administrative decisionmaking.

It would appear that the Master Management Model conforms closely enough to these concepts to qualify as a basic systems approach.

Management Styles and Organizational Behavior Models

Modern students of administrative practice have concerned themselves with models of organizational behavior and have identified certain basic types. Before looking more closely at these approaches we should note that the Master Management Model could probably be linked to any one of them and is not dependent upon being associated with a particular behavior model. Keith Davis⁴ has identified the following four basic types of Organizational Behavior Models and their related characteristics and compared them.

Autocratic: Basic motivation is based on power exercised by managerial authority. Employees are expected to be obedient and personally dependent. Since only their basic subsistence needs are met, performance is usually minimal. Compliance is the basic measure of moral.

Custodial: Emphasizes economic resources, material rewards and security. Encourages organizational dependency through maintenance of employee needs. Elicits passive cooperation and attempts to develop employee satisfaction.

Supportive: Attempts to direct by leadership ability and by providing employees with a supportive environment. Emphasizes employee participation and performance and attempts to meet higher emotional and social needs. It attempts to awaken latent drives and talents and to generate positive motivation.

Collegial: Seeks to create a climate of mutual contribution through integration of functions and teamwork approaches. Emphasizes employees need to assume responsibility and exercise self-discipline. Attempts to create a sense of self-realization and enthusiasm that results in commitment to team and task.

Most administrators, by proclivity or personality or professional preference adopt one of these management styles consciously or unconsciously. Each organization or agency tends to have a "personality" of its own, that is, a philosophy on how it intends to do business and treat employees, clients and

customers. All four models have been successfully employed and no one model can be said to be superior to the others. Many variables such as size and age of the organization, levels of education and compensation and employee individual and group characteristics.

A Brief History of Management Methods and Practice

If one looks at the development of administrative science since the turn of the century, it becomes evident that there has been an evolutionary progression that can be divided into at least four identifiable periods.

Classical Period (1900-1930) During this era economic goals were emphasized in planning. Efficiency and production were emphasized and the man/work relationship and individual performance were of critical concern. Formal chain-of-command organization on a hierarchical or verticle model was the major mode. Decision making was centralized and budget building was from the top down. Industrial engineering techniques were introduced extensively and there was a high degree of division of labor. Authoritarian leadership prevailed and positive and negative economic incentives were emphasized. Survival, security and safety needs were addressed. Management techniques included cost accounting, time standards, visual aids, charts and graphs.

Neo-Classical Period (1930-1960) Social goals were added to economic goals, and group orientation augmented preoccupation with individualism as psychological and sociological concepts were introduced into the mangement milieu. Man-to-man relationships were carefully considered and horizontal, informal, two-way communications and encounters encouraged. Social incentives and social needs were identified and dealt with. Decentralization and group control were attempted. Participative leadership, group suasion and group performance were vital aspects.

Modern Period (1960-1970) This period featured the combining of elements of the two previous eras and added several new dynamics and dimensions. Combined economic and social goals attempted to address the twin issues of productivity and work satisfaction. The dignity of work was emphasized. Strategic planning and program control models such as PPBS and PERT were introduced. The concept of self-direction through Management by Objectives gained currency. Many new control mechnaisms were introduced such as operations analysis and research, computerized information processing and quantitative controls, and professionalization of staff esteem and self-actualization needs were considered in program planning and resource allocation.

Neo-Modern Period (1970-present) The current impulse that gives impetus to management thought focuses on the concept of systems management. This approach emphasizes a formal process by which the administrator studies the environmental inputs, manipulates the organization "withinputs," (transformation units or conversion processes), and controls the calculated outputs (of goods or services). All of the concepts and components of previous periods are creatively employed in developing an integrated model. Advanced practitioners are using a modification of the scientific method and proceeding through a process involving philosophy, assumptions, principles and theory in attempting to develop a body of knowledge that may someday be properly identified as a discipline.

The systems model is a complex and multidimensional model that focuses on the concept of interrelationships. A system is defined as "A set of inter-related parts, working independently and jointly, in pursuit of common objectives of the whole, within a complex environment." 3 of p122.

By this definition, there are innumerable systems that interrelate with each other in a complex web of ordinate and subordinate, primary, secondary and polyfaceted arrangements. At this point, the model becomes so complex and cumbersome as to challenge credulity. It is well stated that " There are no experts in the systems approach." Since it is still embryonic and in an early evolutionary stage, it is too soon to critically evaluate the ultimate utility of the systems approach.

Maslow's Model of the Hierarchy of Human Needs

Abraham Maslow was one of the major personality theorists and humanistic psychologists of the modern era. Unlike most other theorists such as Freud and Adler, who concerned themselves with sickness, his life study was devoted to researc. ing the qualities characteristic of a healthy, fully functioning human being. The concepts that he developed have been widely accepted as valid and have been applied in many fields. They have a useful application in administrative science as well.

To understand Maslow one might construct a simple diagram that would resemble a set of stairs and would represent a series of steps or stages through which each human being would progress in the growth process towards full maturity. Each step or stage would represent a basic human need or cluster of needs. A need may be defined as a fundamental human drive or desire whose fulfillment or satisfaction is critical to health and happiness or the well being of the individual and which requires inputs of both human and material resources. We can

elaborate on Maslow somewhat by paralleling each stage of human development by a matching statement of material resource status.

MASLOW'S MODEL OF THE HIERARCHY OF HUMAN NEEDS

<u>HUMAN RESOURCE STATUS</u> STIMULUS	<u>MATERIAL RESOURCE STATUS</u> RESPONSE
SELF-ACTUALIZATION (Self-Realization) STATUS NEEDS (Ego Esteem)	SATIATION -Independent
SOCIAL NEEDS (to Love and Be Loved)	SURPLUS (Fame and Interdependence Fortune)
PSYCHO-EMOTIONAL NEEDS (Pscho- genic)	SUFFICIENCY (Acceptance Dependence and Belonging)
PHYSICAL NEEDS (Physiogenic) Hunger-Thirst-Thermal Comfort-Sleep	SUSTENANCE (Safety and Tomorrow security)
	SURVIVAL (Food-Shelter-Rest) Today Steps & Stages

Maslow's basic concept holds that one cannot progress from a lower to a higher level until the needs are met on the lower level. Once satisfied, the needs of the lower level no longer serve as a key factor in needs fulfillment drive or motivation.

Maslow's concepts are useful in analyzing existing management models and styles, and in constructing new modes or developing new methods. They provide a fundamental rationale which is usable in predicting human response to system inputs.

Organs, Organisms and Organization

Definitions sometimes provide perceptive insights. Note the continuity of concept between the following words. An organ is "a part or structure..adapted for the performance of some function or functions;...an instrument or medium by which an important action is performed or end accomplished."⁵ An organism can be described as "a highly complex thing or structure with parts so integrated that their relation to one another is governed by their relation to the whole." An organization is "an organism, any vitally or systematically organic whole."⁵

These words paint the picture of an agency as an organization having a "life" of its own which is nurtured and nourished by the organs which are the pieces and parts that perform special functions by employing special systems for their accomplishment, and in which all of these parts are interdependently related to each other via their relation to the whole, or in other words, a system approach.

Act, Activator, Activity, Action

The following definitions are also helpful in seeing the nature of the relationship of administrative parts to the organizational whole.

- Act: "The Exercise of Power: That which is done."⁵
- Function: "The kind of Activity proper to a person, thing or institution."⁵
- Activity: "Natural or normal function"⁵
- System: "A Coordinated body of methods or actions, or a complex scheme or plan of procedure."⁵
- Action: "The act...of performing a function."⁵

"Getting your act together" is more than pithy aphorism. It is the ultimate administrative imperative. The concept of "act" embraces a script, scenario and staging of an organized production, a management of people and resources to achieve a desired result or intended end, not left to chance or happenstance. The Master Management Model is an attempt to put "it all together." The agency act is "that which is done." The executive is the activator who "exercises the power." Activities are executive concepts of what is to be done, functions. Action involves executive conduct, which is the exercise of the privileges, prerogatives and powers of the executive office or officers.

The key figure in this chain reaction and relation (act-activity-action) is the activator. Administration can be defined as the activity and actions of an executive officer. Executives execute. They are equally concerned with policy and practice and bridge the gap between planners and practitioners. They are the generalists who direct the specialist. They mold the brain and body of an organization into an intelligible being.

Masters and Mastery: A Management Model

The Master Management Model offers two advantages to the agency administrator.

First, a master model is like a master plan - it provides a unified perspective that is discreetly inclusive and exclusive.

It is inclusive in that all of the key elements or ingredients that are essential to a successful program are arranged in a logical or sequential order. It establishes a major management mode which can be used to blend and balance all program elements and to which all other plans or subsystems should be subordinated and coordinated. It is exclusive in that it does not accept pieces that are not part of the whole. It demands congruence and conformity from all components and constituents. It is the tread on which all of the program pearls

are strung. It keeps them in order, holds them together, helps to achieve the best possible appearance, and maximizes the total value of the program.

Second, the master model helps the practitioner achieve mastery of the art and science of administration. Because with it he enjoys the advantage of a superior perspective, he sees how things fit or should fit, he can organize, delegate, coordinate, and improvise. He is not left a helpless spectator; he becomes an informed innovator who can take command of the dynamics of a situation and creatively use them to accomplish his ultimate ends. The model assists the manager in becoming the master of his circumstances and in achieving mastery of skills and techniques associated with good management, professional proficiency, and the pursuit of executive excellence.

The Four Stages

Every management model is multi-dimensional in terms of structure. However many theorists ignore the fourth dimension, time. The Master Management Model begins with a temporal frame of reference and must be viewed logically and chronologically. Activity and actions take place in time, and take time. The four stages are logically related to each other in a progressive sequence. However, this sequence is not a straight line, but circular, and should be conceived of as an upwardly ascending spiral that repeats the sequence pattern as a cycle that then repeats itself in a new time period chronologically.

Stage I: The Developmental Phase involves planning and program development. It concerns itself with gathering data, identifying facts and values, designing a plan, establishing goals and objectives, assigning priorities, determining legal liability and regulatory restrictions, securing resources, and other preliminary functions that precede program inauguration. When the cycle repeats itself in an established agency, it becomes a period of conceptualizing program modifications before initiation.

Stage II: The Implementation Phase concerns itself with introductory or commencement tasks which serve as the prelude to the major organizational revenue and resources, people and plant, facilitators and facilities. This is a time of "tuning up" and shaking down," testing and trying the management mechanism before trying to fly with it. In an existing organization, when the cycle again returns to this point, program modifications and improvements are introduced and integrated into the existing structure.

Stage III: The Operational Phase begins when the training and trial exercises are complete and the organizational structure is certified to carry the full load of production and performance demands it was designed to meet. The

agency now must concern itself with attaining and sustaining its motivational momentum and it must strive to thrive and survive. A ritual or rhythm of regularity must be introduced, policies must be established and executed, personnel must be directed and inspected, and the community must be consulted and cultivated. The agency must be bifocal and look at the micro world of withinputs and its own internal mechanisms, and the macro world of externalities where its outputs and outcomes will be received or rejected. In an ongoing program this stage in the cycle is largely concerned with maximizing benefits, minimizing costs, humanizing relationships, and controlling both quantity and quality in the conduct of agency affairs.

Stage IV: The Refinement Phase serves two basic purposes. First, it provides an opportunity for program operators to consider what they are doing and how they are doing it. It is consciously concerned with assessing and evaluating the original organizational objectives articulated in the developmental phase, initiated in the implementation phase, and hopefully achieved in the operational phase.

Second, it affords the agency a chance to change its objectives, outputs and outcomes by typing original search or data collection to research or data evolution. By carefully considering what the agency is or is not doing, it can provide an opportunity to reconsider and reconstruct the total agency program. It can serve as the bridge or link in the periodic cycle. The results achieved in this phase are transmitted into the next periodic cycle and become the input data for the next planning and developmental phase. It provides an internal loop or feedback circuit built into the basic mechanism that helps the agency to become a self-correcting evolutionary organism that is constantly refining and improving itself and insuring its survival. The refinement phase distinguishes between growth and change and provides for each to take place within the agency in a planned format and under controlled circumstances. This ability to measure mistakes as well as success, to contain and control weakness and capitalize on strength through the exercise of a critical faculty is the key to program effectiveness.

The Eighteen Steps

Stage I The Developmental Phase

Step 1. The Input function and the Data Collection System

The input function concerns itself with data development and gathering information pertinent to the program or problem being addressed or analyzed. It

involves searching and researching for sources and resources of basic background material which may be categorized in many ways such as primary or secondary sources, hard or soft data, subjective or objective, impressions, etc. Since a great deal of time and money can be wasted in collecting useless or marginal material, reason dictates that a formal data collection system should be employed which insures comprehensiveness and relevancy.

With the advent of cybernetics, computers and calculators, data proliferation has become a problem. Too much raw data can present problems as serious as too little. Management and manipulation of data as well as processing and retrieving it are contemporary concerns. Confidentiality also is a continuing consideration. Many fine systems exist ranging from simple to complex in structure and capacity, and nominal to phenomenal in costs.

The informational input system should not only have the capacity to deal with facts and figures, but also insights, concepts, and value judgments. Data collection involves the intake of statements as well as statistics, citations as well as sayers, narratives as well as numbers. Such a system must be able to deal with both qualitative and quantitative concepts.

Delimitation is the answer to proliferation. Planners must deal with the so-called GIGO phenomenon (garbage in-garbage out) which in computer parlance means that the quality of your output is dependent upon quality of input. Data sources range from libraries to person-to-person interviews, from computer print-outs to public opinion surveys. The field of data collection is too vast to deal with in detail except to say that the good administrator will make certain that his management assumptions are based on adequate and accurate information, and that data development is a continuous part of program operation, change and growth.

Step 2. The Planning Function and the Data Synthesis System

Planning for the most part involves analyzing and arranging raw information into an intelligible form or format. It may involve developing a design or outlining an organization, procedure or process. It involves the conceptualizing of executive conduct or the building of a management model.

It includes extrapolating meaningful and relevant facts and factors from the total environment (inputs, manpower and materials) and combining them with a transformation unit or conversion process (with inputs, methods or means) to produce desired or desirable outputs or outcomes (results in terms of goods and services).

Every agency or program should be able to enunciate its definite major purpose(s), and basic philosophy and enumerate its goals and objectives as they are defined and developed through the planning process. Planning also involves arranging these concepts in some sort of a continuum or time line that may involve short term, intermediate and long term considerations.

Today, planning is fast becoming a speciality and planners specialists. The planning models have become increasingly complex and technical in the past ten years. Ever since leaders such as Robert McNamara brought cost/benefit and cost effectiveness concepts into private industry and later the PPBS model (Planning-Programming-Budgeting System) into the Defense Department (in 1963), the planning process has become more and more sophisticated.

As an example, PERT (Program Evaluation and Review Technique) was developed by the Navy Special Projects Office and Booz, Allen and Hamilton as a planning system to develop the Polaris missile program. It is basically a plan that is designed to eliminate or reduce production delays, conflicts and interruptions and to coordinate and control simultaneous and sequential events and activities so that a complex project can be completed on schedule. Events happen at a point in time; activities involved the use of time; hence, events signify the beginning and the end of an activity.

Numerous variations such as the PERT milestones model, and CPM (Critical Path Method) have been derived for special applications in many fields of business, industry and service.

MBO (Management by Objectives) is a currently popular model that attempts "to transform the statement of organizational purpose into precise operating objectives, plans and budgets in such a way as to influence the behavior of members of the organization in support of agreed upon goals"³ It generally follows a three phase cycle that includes: 1) Identification of goals, responsibilities and tasks; 2) Development of standards of performance; 3) Measurement and evaluation of performance.

It is interesting to note that most of these plans include some statement of the basic economic equation: resource allocation = results. In many instances it has been accountants and auditors working with or as management consultants who have developed these models and methodologies. Although the federal government has subsequently ceased to use PPBS, variations of it such as BARS (Budget, Accounting and Reporting System) are still popular in state and local governments and MBO is being used on all levels in both the public and private sectors.

Planners also need to be familiar with various analytical models, especially when developing policy. Concepts such as systems theory, game theory, elite theory, group theory, rational decision making theory, incrementalism and institutionalism have useful applications in agency administration.

Planners also can benefit from being familiar with concepts such as the "criterion of efficiency" which holds that when all the facts and values in a given situation are weighed and evaluated, only one logical choice remains. "Economies of scale" refer to the relationship between size and cost and "biggest bang for the buck" considerations. "Externalities" or "Spill over Effects" must be addressed as the unanticipated or unplanned results or effects.

Data collection may be likened to "picking the fruit." Data Synthesis or the planning process, like the digestive system, must ingest, digest, absorb, assimilate, eliminate, and otherwise process information from its raw form into an action format .

Step 3. The Proposal Preparation Function and the Work Program System

This function is so broad that it requires treatment in a separate paper. Nonetheless, some general observations should be made. Once data collection and synthesis have resulted in a viable plan of action, the next step is to translate the material and modality into a formalized written document. This is sometimes called an "Action Plan," "Work Program", "Policy Manual, Administrative Handbook or Program Description Document. Each funding source generally publishes a set of standards, directives or guidelines which it expects all funding applicants to follow. Compliance and conformity are generally critical, and failure to follow the prescribed course can be extremely costly in terms of time and ultimate funding. Grant writing has certainly become an art, if not a science. It is often advisable to employ an experienced professional to prepare such documents rather than risk producing an inferior or inadequate proposal that may lessen the project's chance of gaining funding support.

It is often a wise investment to pay for or provide training in technical writing or proposal preparation. Documentation is increasingly critical to program success and survival and staff and line personnel must constantly upgrade their writing and reporting skills.

In evaluating an ongoing program, frequently the best place to start is to read the original grant proposal or the present program description and study the materials related to its development. Every grant-in-aid administrator should constantly restudy the work plan to make certain that he can justify any departures from it or unapproved deviations. Particular attention should be paid to preparation of required documentation, i.e., Project Structure Breakdown Charts,

Task Matrix Charts, demographic studies, organizational charts, etc. Particular emphasis should be given to the accuracy of the budget and financial pages.

Step 4. The Regulatory Function and the Accountability System

Writing a grant proposal for submission to a funding agency for initial or renewed appropriations, responding to a RFP (Request for Proposal), or submitting a bid proposal, are all only visible portions of the bureaucratic iceberg. Beneath the surface are the real difficulties related to securing funding that are often found within the complexities of the funding agency's structure and working apparatus. Each public and private agency usually must conform to a mountain of legislative mandates and a maze of intragency policies, procedures and regulations.

The grant or bid proposal generally must be approved on the local level by a planner, a citizens review board (usually community people or unpaid professionals) and an advisory council (generally connected with local government). Sometimes there are regional bodies (Intercounty Governmental Council) or intermediate boards (LEAA Technical Advisory Committee) which must also approve any funding proposal. Final approval may ultimately be made on the state or federal level. Because of this cumbersome and time consuming process, it has been said that funding is as often dependent upon "who you know as what you propose". It cannot be overemphasized that the competent administrator will be fully aware of the structure within which he must work and the necessity of cultivating good working relations with those in that system.

Most funding requires careful reporting and accounting and administrators must establish immediate credibility and confidence. Personal bonds of \$10,000-\$50,000 are often required. Integrity in terms of accuracy and timeliness must be observed with respect to required reports which are generally on a periodic cycle, i.e., monthly, quarterly, annually. These reports are often the determining factors in whether a project is terminated or refunded. Suffice it to say that the good administrator is aware of both "bureaucratic policies and politics".

Most funding agencies have published regulatory manuals that prescribe standards for accounting and financial procedures, reporting, employee integrity, acquisition of property, inventories, anti-discrimination and affirmative action activities, and other areas of concern which should be scrupulously observed. Most projects are funded through the vehicle of a contract which is often quite lengthy and complex. Administrators should be fully aware of all civil and criminal penalties which may be related to their performance.

As agency programs become more accountable and professionalized they are being compelled by governmental agencies and policies as well as by forces in the private sector such as insurance companies and Health Maintenance Organizations to meet or match certain standards. Bodies such as the Commission on Accreditation of Rehabilitation Facilities (CARF), the Joint Commission on the Accreditation of Hospitals (JCAH) and the Commission on Accreditation for Corrections (CAC) are representative of such bodies. In addition, certain professional bodies as well as state and local boares serve similar functions.

Executives must become familiar with the following terms and concepts in order to deal effectively with these bodies.

Standards and Guidelines Authoritative or official statements related to the planning, development, implmentation, operation, evaluation, modification, and continuation of a practice, project, or program that insure that certain basic, essential and minimally acceptable levels of competency, efficiency, and accountability are met, thus protecting both the public and private interest.

Certificate of Need: A document issued at the culmination of a systematic planning and review process which indicates that a proposed program or facility will provide a service or resource not currently or sufficiently available in a community and which will be in harmony with a comprehensive plan and long term needs and objectives.

- A) Review Boards Composition
 - 1. Professionals
 - 2. Program operators
 - 3. Citizens-Public-at-large
 - 4. Consumers-Special interest Group
- B) Review Process
 - 1. Local planning commission-city or neighborhood
 - 2. County or burrough
 - 3. District or region
 - 4. State
- C) Staff Function
 - 1. Findings of fact
 - 2. Recommendations
- D) Typical of Health Care and Social Service Fields
- E) Duration: Generally Perpetual unless program seeks modification.
- F) Process is mandated: Power to Recommend Only
- G) Can be Appealed or Overruled

Licensure: The process or procedure whereby an agency or agent, institution, or individual may be legally authorized to operate a facility, carry on a activity or provide a service for a specified period of time as long as certain basic requirements are met.

- A) Issued by an appropriate agency of government exercising its statutory or regulatory powers
- B) Staff: Full powers of enforcement; sanction and controls
- C) Subject to review -Standards must be maintained
- D) Subject to renewal -Temporal
- E) Subject to revocation - Appeal process
- F) Conformance Mandatory: Codes, ordinances, standards, statutes
- G) Usually issued by a general bureau, not special

Program Approval: - Authorization to receive funding from the public sector under the condition that a facility, staff and program conform to all pertinent and prescribed rules and regulations related to program integrity, quality, and accountability.

- A) Generally conferred by a special bureau which has regulatory and accountability authority
- B) Mandatory if public funds are sought
- C) Subject to change, modification
- D) Subject to periodic review
- E) Subject to renewal
- F) Subject to revocation
- G) Qualifies agency for funding, but does not guarantee funding

Accreditation: A certificate of excellence voluntarily solicited by the recipient agency which is awarded to a program that conforms to high standards of quality and competency.

- A) Conforms to standards established by a board or commission of acknowledged and qualified professionals who are duly constituted so as to properly issue such an award.
- B) May qualify the recipient for both public and private funding and support
- C) Generally not mandated by law.

Certification: Acknowledgement of personal professional proficiency conferred upon an individual practitioner who is deemed fully competent by a board, commission or professional organization, which by virtue of law or reputation, is recognized as authoritative in the field.

- A) May involved review
- B) May involve renewal

C) May be subject to revocation

Step 5. The Finance Function and the Fiscal Management System

When any project or program is funded by public money or private philanthropy or charitable contributions, it should be considered an inviolable confidence invested in the chief executive that he be held accountable by the board for those funds entrusted to him. The second most important officer in agency operations is the comptroller or financial officer. Since money is regarded as the universal solvent in our society, it is a widely held myth that given enough money, anything can be accomplished. Unfortunately, many programs have not proven their value or viability. All too often they are granted their heart's desire only to learn, too late, that money is not enough. In order not to violate public trust or personal integrity, the chief executive must assure that his program has an adequate fiscal management system that keeps accurate books of record, follows good accounting practices and procedures, has a budget for a guide and follows it wisely, and is aware of and conforms to all fiscal regulations and restrictions incumbent upon the agency. The single most important determinant in the success or failure of most projects is the degree of expertise and maturity manifested in money management. Every agency should produce a monthly financial statement and be independently audited on an annual basis. Since fiscal management is a highly technical area, it must be left to another paper for detailed discussion.

Step 6. The Organization Function and the Operations System

The term organization implies structure and structure involves the concepts of ordinate and subordinate. The chain of command in most non-market or service oriented organizations is generally based on a hierarchy model of the power pyramid. Authority, responsibility, and accountability are interdependent and are invested in the chief executive by the governing body. He is the "Hierarch," the supreme ruler, the final authority, the executive director, sometimes misspelled, "dictator". Since he is accountable for all, all are accountable to him. Most agencies have some type of organizational chart that shows relative positions in the management structure. In order that there can be no uncertainty as to who is responsible for what and where the real authority is invested, most organizations develop an organizational chart, job descriptions and personnel and program policy manuals. All operational procedures are directly related to organizational position and the "deed" and the "doer" are inextricably connected by the director. The operational system must therefore be entirely correlated to the organizational structure in a conscious, cohesive and comprehensive way.

Step 7: The Staffing Function and the Personnel Management System

In relative position in the power structure is essential to the integrity of agency operation, then it is critical that the proper person be assigned to the proper position. Even the smallest project must think in terms of talent and temperament, personality and performance, character and competency. Every employee is entitled to know what is expected of him, what his duties are and are not, what are his or her rights and restrictions, privileges and limitations. Every agency must have well defined policies and procedures for dealing with the eventualities of personnel management or "continuous crises may create chronic chaos". The staffing function, which is the proper matching of person with position to insure maximum output and adjustment, should be controlled by managers who will scrupulously follow the directives of a well planned and fairly administered personnel management system. In creating an organization chart, careful attention should be given to the following concepts. Line staff: Perform direct production or service supervision, and are responsible for unit or component functions. General staff: Perform support services for total organization, not specifically related to any single unit or component, usually general, technical or periodic nature. Chain of command: direct linkage between each superior and subordinate should be clearly established so that everyone knows who his supervisor is and whom he supervises. Span of control: no supervisor or administrator should have more than 3-5 persons reporting to him or under his direct supervision. Job Descriptions should be required for every staff position and should reflect the previous concerns. Orientation training should be provided for all new staff and inservice for old staff. Every agency should develop a personnel manual.

Step 8: The Physical Environment Function and the Facilities Management System

Every program that wishes to achieve maximum efficiency and optimal output must be housed in an adequate physical plant that affords all the needed and necessary fixtures and equipment. In these days when words like biosphere, territoriality, ecology and habitat are applied to human surroundings and circumstances, and everything from light intensity to decor design and motif has been studied in terms of human needs and functions, the agency director cannot afford to ignore the physical environment. Procurement and purchasing are areas that require special competency and experience. Repair, renovation and maintenance are continuous requirements of most ongoing programs. Zoning regulations, building codes, health and safety regulations, security standards, and custodial and site maintenance functions are essential parts of facilities

management. Therefore, the agency must create the physical and psychological climate that enables its employees to function adequately. Offices that are too hot or too cold, a substandard lunch room or rest rooms, inadequate space or substandard equipment, or even lack of privacy can create conditions that are detrimental to client or employee morale. The physical environment must be under the constant control of persons who are competent and qualified in these areas of special expertise.

Step 9: The Communications Function and System

Communications are concerned with intra and inter agency exchanges. The structure and organization of a program determine the type of system required for intraagency communications to take place on two levels and in two directions. The two levels of communication are formal and informal. The two directions of communication are horizontal, or peer to peer, and vertical, superior to subordinate. Every agency director should be aware of the multitude of problems within the organization which are directly related to failures in communication. Constant efforts must be made to keep staff morale high and barriers broken down so that informal communications, which carry most of the horizontal load, can function smoothly. Formal systems must be developed and kept in constant repair so that there are no bottlenecks or logjams in the vertical communications system. Staff meetings, department head meetings, planning sessions, in-service training, written memos, memorandums and directives, intercom systems, message transmission and transfer systems, must all be constantly reviewed in order to keep communications free and open.

Step 10: The Control Function and the Systems Management System

The concept of "system" has one basic weakness that is inherent in its definition and if unaddressed and uncorrected, can cause the entire administrative structure to waiver and crumble. This weakness is also the concept's basic strength and that is the requirement that each part or sub-system be related to every other part or subsystem through its relation to the whole. The whole organization is greater than the sum of its parts. It tends to develop a life of its own, a will of its own, even a personality of its own. This phenomenon is due in part to the fact that the organization has power to regulate its organs to and for the good of the whole. This control function is critical to success and survival and has been identified and commented upon by almost every major theorist.

In ancient Persia, one of the first world empires of antiquity, the monarch, whose authority was absolute, found it of great value to appoint a new body of officials who were commissioned to act as the "eyes and ears of the king". These officials were neither line nor staff. Their function was merely to observe and report, directly to the king. The monarch then had the option to act upon unbiased, factual information which he could then employ in the decision making process. He was able to measure the input he was receiving through the regular chain of command and validate it with an independent point of reference.

A similar function is needed within any organizational system. Depending upon the size, age and complexity of the agency, this control function will be either formal or informal, conscious or unconscious. It will, however, be present in some form. Coordination, cooperation and consolidation within the organization cannot be left to chance and circumstance. Someone must be responsible for integrating and articulating the subsystems, organs and parts into a comprehensive unity of being and action.

Whatever device is set up to deal with this need may serve as a systems management system. It is the balance wheel that keeps the entire mechanism ticking along, synochronized and driven in the direction dictated by the directors. It involves more than a carrot and stick concepts of an applied punishment and rewards. These are, of course, a part of control; but it also involves employee morale and motivation, crisis management, resource, allocation, and the dynamics of daily management style and routine. Every executive should consciously concern him or herself with how they can best exercise their options and express their management style and philosophy through creatively utilizing the control function.

Step 11: The Decisionmaking Function and an Executive Option System

One of the most significant social thrusts in our age is the egalitarian notion that everyone should play a part in the making of decisions that affect his or her life. While this ideal is most commendable in private life, it can become a real stumbling block in effective agency administration. People are sick and tired of being treated as punch card non-persons and members of the masses. They want to feel individual and unique. They enjoy a sense of mutual participation and shared power. They like to believe that they are important and have a voice and a vote and deserve to be heard. The creative administrator must provide more than an occasional forum for discussion and debate. He must initiate more than a grievance committee or complaint department. He can-

not count on the suggestion box or the incentive bonus to capture and translate all of the creative talent and ability latent in his organization into measureable output. Today's administrator must learn the tactics and techniques of sharing power without losing power or respect. He must learn to intervene when appropriate but to otherwise exercise his option to share the decisionmaking process or his authority with others. He needs to plan and provide an identifiable system for staff authority or identity. The executive option system conceives of the administrator transferring as much of the problem solving and practical implementation process as possible down through the ranks. By adopting a questioning attitude of "What's your opinion?" or "How do you think we should do it?" he can effectively glean and gather the best ideas and suggestions from his associates and subordinates, giving credit and compensation where they are due. This makes decisionmaking on the higher levels of philosophy, principle and policy easier for him, it gives him vital input from all levels, and helps those who work with him to be more receptive to his exercise of ultimate authority when it is proper and necessary. The Executive Option System allows the administrator the flexibility to intervene at any level at any time it becomes necessary but does not weight him down with the thankless chore of doing everyone else's thinking and deciding for them. Besides building a stronger and more mature staff, this systems frees the administrator on each successive level to do a better job.

Step 12. The Performance Function and the Service Delivery System

Agencies and businesses exist for one purpose. to produce goods and services, outputs and outcomes. The agency in itself should be considered as a conversion process plant or a transformation unit that takes the raw materials or inputs and systematically changes them into final form. The entire agency exists basically to perform this function. All other functions are supportive of service delivery or production performance. In the military, it frequently takes five or more men in the rear echelon to maintain one man in the field. In professional racing, the pit crew is as important as the driver and outnumber him as well, but all are devoted and dedicated to the common cause and total task-to win. Likewise, in the public or private social agency, the total team effort must always be focused on the finish line, and on the final product that is the result of the process.

All of the more advanced concepts such as systems management, management by objectives, and cost/benefit analyses, are aimed at improved performance. There is only one word that seems to be universally accepted as the measure of a person's worth - competency - knowing what the job is and getting it done.

In the final analysis service delivery provides the ultimate measure of all other components in an organization. This is where dollars and cents, plans and preparations, staff and facilities, functions and systems are finally translated into results. It may be that only a percentage of the agencies resources are spent on direct service delivery, but it should never be forgotten that other areas and functions are subordinate and supportive to it. Their value must be measured by how well they contribute toward service quality and quantity. There is not excuse for continuing to perpetuate an administration that serves itself rather than its mandate. To do everything else well except service delivery is ultimately a tragic failure.

One note of caution, although performance and production are the ultimate reasons and measures of agency existence and success, some administrators make the equally tragic mistake of concentrating exclusively on this one area to the exclusion of all else. They get good results but can't prove it or go broke proving it. This is not an "either-or" situation, but a balanced approach that is imperative. " These ought ye to have done and not left the other undone".

Step 13: The Coordination function and the Referral System

"No man is an island" and no single program today can provide or perform all the necessary functions and services that are part of meeting and matching human need in the social mainstream. We live in an age of increasing specialization and proliferation of the service function. Therefore, it is critical that programs working together in the same field or area, or serving the same clientele or community, work creatively and cooperatively. So called " Articulating link-ages" or "interagency" referral mechanisms" should be developed. Sometimes these may be only informal working relationships. In many instances, however, agencies may formalize their relationship with a written understanding or contract. Combined staff meetings, conjoint in-service training programs, seminars and workshops, as well as interdisciplinary or multidisciplinary approaches, hold interesting possibilities. Sharing staff, facilities, or equipment, combining purchasing power, and forming consortiums, coalitions, councils or social actions societies are different ways in which agencies may more properly serve the client and community.

Step 14. The Public Relations Function and the Information Delivery System

Keeping the public informed as to the purposes and performance of a program is obviously vital to program acceptance and support. Wise and discriminating use of the media, attractive promotional literature, newsletters, community

service functions, guided tours and a host of other activities call attention to what you are doing. It is not enough to leave Public Relations to chance, as most older agencies and businesses have found out. One must be constantly working to be heard above the din and clatter of the crowd. A well planned and executed public relations program not only enhances the program image but serves to educate the public as to its responsibility.

Since Public Relations is a highly specialized field, it cannot be adequately dealt with in a summary. Each agency, however small, should attempt to develop a PR program appropriate to its size, needs and resources. Many PR projects can make money for the agency or at least pay for themselves. Each agency should give careful attention to developing a written philosophy, a statement of purpose, a motto, a logo, a letterhead, and a monthly newsletter. These features cost little and their benefits are many. Also, careful attention should be given to developing possibilities for a newspaper, a brochure, publication of the annual report, audio-visual materials, including films, cassettes, and audio and video tapes. Investments in basic equipment such as a good camera, a video tape machine or even a small printing press sometimes pay handsome dividends. Careful attention should be given to developing a media file and someone in every agency should be assigned the primary responsibility for working with the media people. News releases about significant or interesting agency activities or events will frequently result in positive news or press coverage. Agency publications should be designed to enhance agency fund raising activities in both the public and private sectors.

Every person and program, each event and activity associated with the organization should be analyzed and exploited for its full public relations potential.

Step 15. Community Relations Function and the Community Support System

Public Relations and Community Relations seem synonymous at first blush. The "public" is obviously composed of a much larger body of people than is the "community". The concept of community involves a strong sense of social and geographical limitation. Sometimes it may also involve a degree of isolation or insulation from the public at large. Community Relations can be considered a further specialization or subdivision of Public Relations so important as to have significance in itself. Programmatically it involves local friends and neighbors, churches and synagogues, clubs and lodges, schools and social agencies, banks and businesses, and anyone else interested in the agency. For

fund raising purposes, it is extended to include all those who might possibly contribute to the program financially. While Public Relations largely involves disseminating information, Community Relations involve not only the giving out, but also the gathering in of information. It involves action and reaction. Two way communication is essential. One must think not only in terms of what the community can do for the program but also what the program is doing or not doing to or for the community. A systematic plan of community contact and cultivation should be implemented and maintained.

Step 16. The Citizens Participation Function and the Volunteer Service System

Volunteerism is an underutilized program resource. Citizens can meaningfully participate in the life of a program in a variety of ways, ranging from serving on a board of trustees or advisors to playing the role of the devil's advocate and social critic. Many programs flounder and fall because no one bothers to complain or criticize, or cares enough to make an appraisal. Negative feedback can have positive results if accurately perceived and discriminately accepted.

Volunteers can fill a variety of roles and provide much useful service. However, they require orientation, training and considerable supervision. They can hurt as well as help a program if not properly directed, and therefore a wise administrator makes provision for their proper employment and utilization in the affairs of the organization. Some programs operate largely with volunteer assistance; others ignore volunteers almost completely. Most programs are somewhere between these two extremes. Much has been written of late about the use of volunteers and the literature and discussion in this field is extensive. Perhaps the most useful materials have been developed by Goodwill Industries⁶ in a series of 12 pamphlets entitled, "Volunteers in Rehabilitation" which covers every area of using Volunteers, including Organizing, Adminstrating, Interviewing, Training and Orientation, Supervising and Evaluating, Motivating, using volunteer groups, and a "Catalog" of resources. All of these materials are useful in planning for the use of volunteers in an agency program.

State 17. The Evaluation Function and the Output Measurement System

Perhaps the area most commonly recognized as being weak and inadequate in most programs has been the research and evaluation component. We have repeatedly emphasized evaluation as a part of data input and synthesis, fiscal analysis, and service delivery and will only briefly review some of the basic needs in this area. Goals and objectives must not only be identified, they should be quantified. Almost all programs are amenable to some form of statistical validation. Cost effectiveness or cost benefit analysis studies and comparisons

are sometimes most revealing and useful. If a program is doing something, there should be some way of measuring output and reporting results.

It is wise for the agency administrator to become familiar with some of the tools and terms of evaluation. Concepts such as intra agency, interagency and independent evaluation are useful. Non-experimental evaluations, quasi experimental studies, controlled experiments, cost analysis, systems analysis and simulation represent possible approaches. Non-experimental approaches such as case studies, surveys, time series (showing trends over time), cohort analysis (the record of performance of a group over time) and before and after studies have many applications in agency work.

Administrators should also be aware that the investigation and analysis involved in evaluation may not always be positive, and that the roles of evaluator and administrator are distinctly different. To be effective, evaluation and research must have administrative support in terms of access and resources, yet evaluation may adversely effect previous or present administrative practice. This dynamic tension can never be fully resolved but hopefully mature individuals can work out a satisfactory compromise.

Again, proper planning, careful collection, skillful synthesis and realistic reporting of program results should be part of a formalized methodology for measuring effectiveness. Only when such evaluative data are added to the original data collection system and compared and contrasted with original conditions and expected results can progress be validated or required changes be determined and implemented.

Step 18. The Development Function and the Progressive Change System

Most programs must change to survive. The question is not whether there shall be change but what kind of change shall occur and how it will be implemented. There are generally two modes of changing social models: evolution or revolution. Programs in which planned, progressive change is not a conscious element run the risk of being insensitive to subtle modification in the social milieu and may at an inopportune moment find themselves suddenly obsolete or out of touch with current reality. Therefore, a plan should exist whereby new insights, techniques, and methods may be introduced into the life and practice of the agency through whatever means deemed desirable. The results of agency evaluation should be fed back into the program as a part of the data collection and program planning functions, thus compelling the entire cycle or loop included in the Master Management Model.

Conclusion:

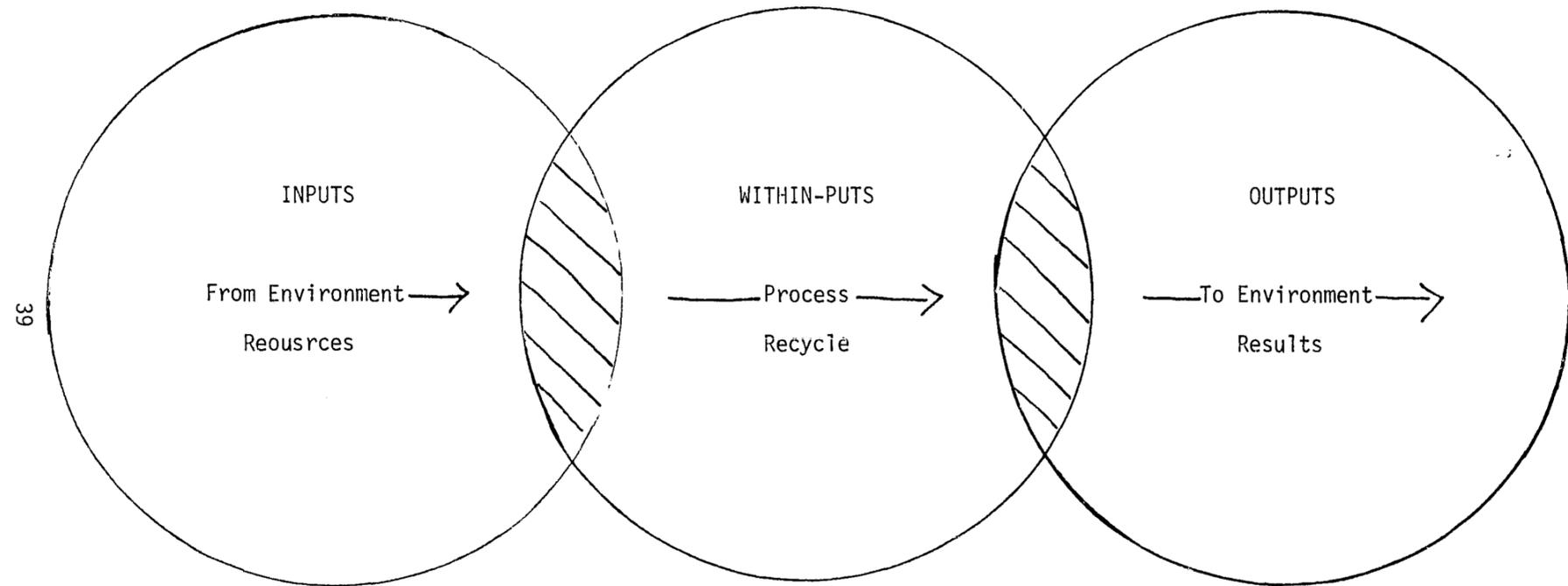
One of the weaknesses of a systems approach is that in the attempt to interface each component with the structure of the whole many concepts must be repeated many times and the effect may be to anesthetize the reader with re-statements. Also, the attempt to explain each subsystem leads to a level of detail that may detract from the very purpose of the model which is to provide a basic conceptual structure which provides a superior perspective. The Master Management Model should be viewed as a totality and employed as a totality. To the extent that it is possible to formally implement each function and system as a part of agency operation, this should be done. In those areas where it is not deemed practical to formalize an activity or action, the manager should at least be consciously aware of what is missing or informally operational and compensate for this condition and be able to justify to his own satisfaction why he has chosen not to formalize that particular function. In so doing, the maximum advantages of the model may be attained with the minimum amount of effort.

If one reviews these eighteen categories of activity and action in the Function-System Master Management Model, it becomes apparent that each component is part of a larger, organic whole and that each unit plays an integral part in the function of the program as a totality. Not all categories are equally applicable to every agency program, but they can individually and collectively serve as a guardian and a guide to good public administration.

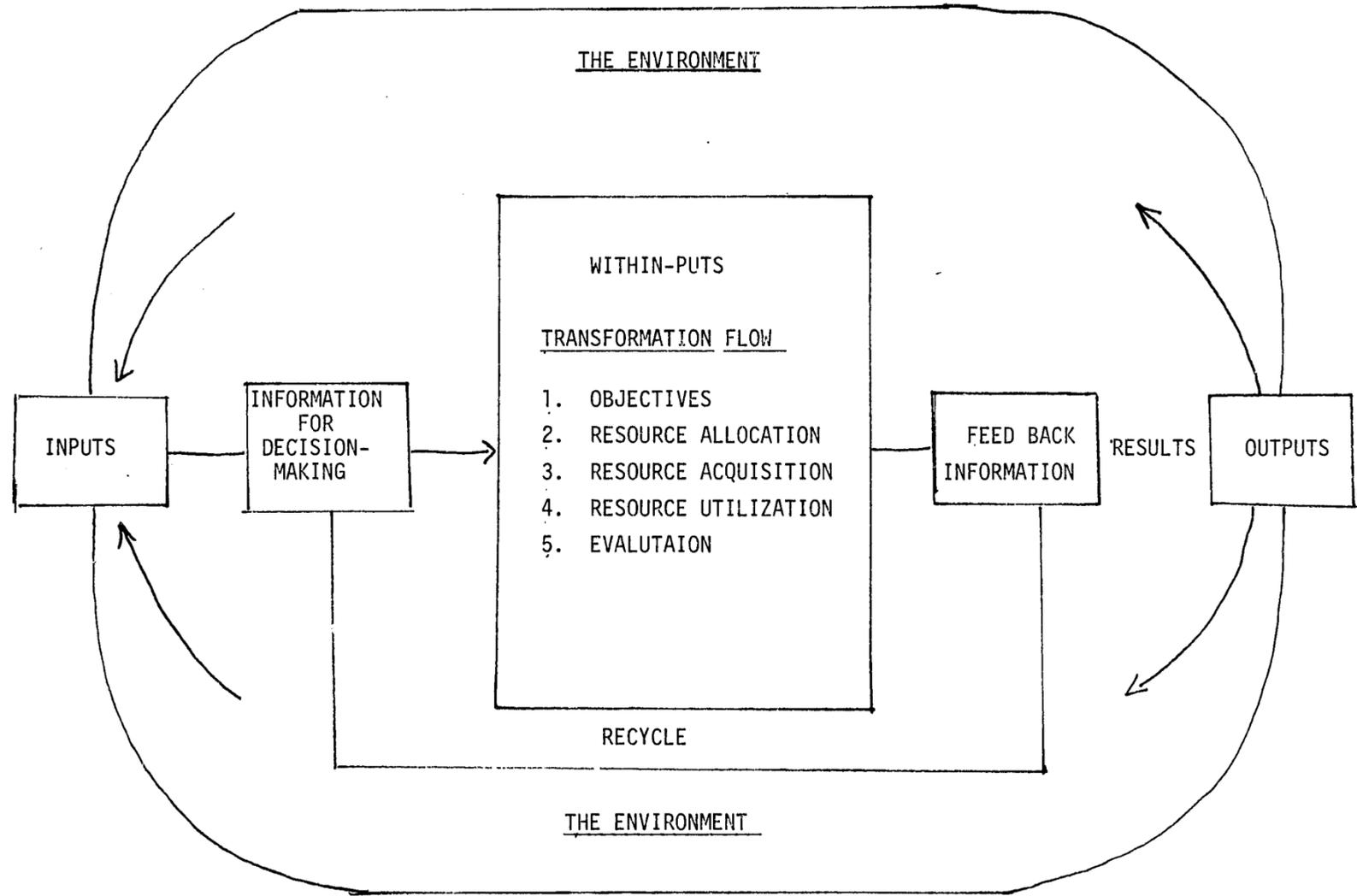
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THE SYSTEMS APPROACH
TO
DECISION-MAKING



From: Ira Sharkansy
By: Norman Chamberlain



From: Shrode and Voich
By: Norman Chamberlain

THE MASTER MANAGEMENT PROBLEM SOLVING MODEL

The Data Development Phase	1. Collect data	
	2. Analyze Data	
	3. Structure the data	
	4. Identify the problem/task/goal	Input
The Conceptualization Phase	5. Identify human resources	
	6. Identify material resources	
	7. List alternatives	
	8. Cost out alternatives-human/economic	
The Decision Making Phase	9. Make tentative decision-Develop master plan	
	10. Test decision with key person	Within-put
	11. Rewrite master plan	
	12. Proceed to implement	
The Implementation Phase		Output

From: The Master Mangement Model
By: Norman Chamberlain

TEAMBUILDING

Organizational Development for Improved Treatment Effectiveness

By

Frank Petrock, PH D and James D. Stilwell

Do you have deficiencies in the following areas? Check those that fit your organization.

- Establishing goals and objectives.
- Staff commitment to goals and procedures.
- Effective use of leadership and authority.
- Know when to make decision through command, consultation, or consensus.
- Effective problem solving.
- Implementation and follow-through on action plans.
- Role definitions and role overlap.
- Effective utilization of staff.
- Managing staff conflict and developing cooperation.
- Trust between staff.
- Effective work relations between your organization and other organizations, or between your work group and other work groups.

The above is not an inclusive list. But it is a significant list. A deficiency in any one area can mean a serious problem for your organization!

If you found yourself checking many of the items above, don't feel badly. You have a lot of company. You are in company not only with other people involved in private or public Homes for Children, Halfway Houses, or community based Social/Treatment Agencies, but also with business and industry, volunteer organizations, correctional institutions, etc. Any time two or more people get together to achieve some goal through a cooperative effort, problems in these areas are likely to surface. They are an inevitable part of organizational life. Simply because these deficiencies are inevitable, however, does not mean that we must live with them. Appropriately, we should be developing and implementing methods for resolving these issues. Unresolved problems typically result in unachieved organizational goals. You may survive as an organization, but what will you achieve? Many organizations perceive the list above as either insurmountable problems or unattainable ideals. They are not! They can be achieved through an Organizational Development/Teambuilding process.

THE IMPORTANCE OF TEAMWORK

Before we present what Teambuilding is --the purpose of this article--let's first examine why teamwork is important.

Whenever an organization is faced with the objective of solving complex and unique problems, whether routinely or periodically, a team approach is the best

way. Certainly, nothing is more complex and more dependent on the cooperative effort of highly skilled individuals than helping your clients or residents to develop. People are very complex.

Teamwork is an acknowledged given in Halfway Houses or other Social/Treatment Agencies and this was recently conceptualized as the teamwork primacy. You will probably find that there are very few people who will disagree with this. Yet, how much time is actually spent in developing team skills in these organizations that are so dependent on teamwork? Very little time is spent, if any at all! The usual thinking seems to be that if you have competent individuals, you will automatically have an effective team of people. Not true! Or, another line of thinking is that if you hold a group of people equally responsible for results and allow them time to meet to discuss problems of mutual concern, then an effective team will develop. Again, not true! It is possible, but not very probable.

Think of it this way. A football coach, or a coach in any sport, recruits the best talent that is available. All of the players are highly skilled. Then, how much time does it take to develop these individuals into an effective team? There are weeks of concentrated practice before the season begins and then there is daily practice throughout the season. All of this is geared towards having the best team on the field for only one hour of actual playing time each week. The football players that win games--achieve results--are the best team. And, winning the game is not totally dependent on just having the best players. Winning depends on how the players are organized and their ability to work together as a team towards one goal.

Working in Social/Treatment Agencies is more complicated than a football game. We have many more goals to achieve, our goals are often in conflict with each other and are usually poorly defined. But, this does not negate the fact that teamwork is necessary. If anything, it makes teamwork more important. Yes, teamwork is important and it is a learned skill with which many of us are not really familiar.

It is important for the manager to recognize that the concept of people working together interdependently is a new idea for many. We have not been taught that way. In our schools and universities we have emphasized competitive, noncollaborative behaviors as a means of accomplishing tasks. Problem solving is done by the person along; regards are given to individuals rather than the group work-group; students are trained not to share or ask for help, especially from one another; goals are set by others and most decisions for a workgroup are made by others. Small wonder then, that whatever collaborative behaviors our tribal ancestors had seem to have, have been lost!

Yes, teamwork is important. Most of use would agree. But when is the last time that you, and those who work with you, took the time to concentrate solely on determining how well your team is functioning in relation to its goals and then decided upon ways to improve team effectiveness?

TEAMBUILDING

Teambuilding is a strategy to develop those skills and behaviors that foster team functioning. It has had a long history of success in improving the effectiveness of work-groups. Surprisingly enough, since the middle 1950's it has been used predominately in business and industry. Actually, teambuilding is just one of many strategies within the general technology known as Organizational Development. Organizational Development is usually defined as a planned and sustained effort of applying behavioral science knowledge for improving organizations. It is based on the scientific method and the underlying values which broadly embrace the concepts of democracy, open investigation, and experimentation. The goal of Organizational Development is improving the quality of life in organizations, solving work related problems and the achievement of results.

Underlying Premise of Teambuilding: The underlying premise of teambuilding is that each organization, or sub-unit within an organization, has within it the resources, knowledge and skills to solve its own problems. The task of Teambuilding is not so much of creating these resources, but of unfreezing and utilizing them. Teambuilding takes a positive approach to human behavior in organizations. It assumes that people are capable and motivated to improve their own organization. It accepts as inevitable the conflicts that exist between the needs of individuals, between the needs of work-groups, and the needs of the organization as a whole. But, Teambuilding advocates confronting these conflicts openly, when staff have the necessary team skills to do so constructively, and using these conflicts as a catalyst for creative problem solving. A specific goal of Teambuilding is to maximize the solving of significant work related problems through the best use of the organization's human potential.

The Process and Key Elements: Teambuilding is a planned change process that takes place over time. It is not a "one shot deal." In effect, Teambuilding is a series of brief, but carefully planned interventions into the ongoing dynamics of an organization. The phrase, "carefully planned" cannot be emphasized enough. A "hit or miss" approach can do more harm than good. Each Organizational/Development/Teambuilding intervention must be designed specifically for a particular team or organization. No two teams or organizations are alike, even though they perform the same function. The overall structure of an Organizational

Development/Teambuilding intervention may be the same, but the content and strategies within each phase of the intervention may be different.

There are a variety of ways to do Teambuilding. What follows is a brief outline of a model we are currently using for a major Organizational Development/Teambuilding effort for the State of Michigan's Halfway Houses under the direction of the Department of Community Residential Care Services (CRC). This project involves key State Department administrators, county administrators, field placement specialist, Halfway House directors, Halfway House staff and residents. It should be understood that the decision to involve all of these people in a major Organizational Development/Teambuilding effort was not made because the Halfway Houses were not doing well. On the contrary, they were reasonably effective. Deciding to get involved in this process was based on a desire to do even better. Getting involved in Teambuilding does not mean that one has to be experiencing major operational problems. The phases of Teambuilding used in the Michigan CRC Project are as follows:

- I. **PLANNING AND ENTRY**
Executive Development Workshops were conducted with the administrators, directors and field placement specialist before any work was started in the houses. Two major objectives were: (1) to design the total intervention in collaboration with the consultants, and (2) to participate in the same activities that the Halfway House staff would experience. The latter was done to insure that these key people would know exactly what would be done and that they could be supportive. After the initial planning meetings, these key people were involved in their own Teambuilding sessions concurrently with the Teambuilding in the houses. It would have been foolish to develop the "bottom" without developing the "top".
- II. **STAFF ORIENTATION**
A session with the staff of each house was held in order to give them an understanding of the entire design, the objectives, and their role. Modifications in the design were made based on staff input.
- III. **ASSESSMENT AND EVALUATION**
The staff in each house was directly involved in identifying key problems within their own organization. This entailed the following:
 - A. Staff completed a survey related to how they perceived their program functioning and how they would like it to function ideally. This same survey was also given to the residents of each house. Examples of areas measured are relationships between and among staff and residents, treatment program, and the quality of the organization.

- B. Staff completed a survey related solely to organizational climate, team functioning and leadership.
- C. Each staff person was personally interviewed by the consultants in order to gather data and information not included in the surveys and to insure that each person's individual views, needs, and objectives were known and included.
- D. While these interviews are being conducted, the consultants had an opportunity to observe program operations. These observations served as another source of data.

IV. TEAM CONCEPTS WORKSHOP

The staff of each Halfway House, including the director, participated in a Team Concepts Workshop. This was an experience-based learning laboratory. The purpose was to have staff experience how an effective team functions and learn personal and team related skills so that they would be able to manage the data collected in Phase III. Staff were involved in experiences related to such concepts and skills as leadership, decision making, problem solving, competition versus collaboration, team member roles, etc.

It should be noted that the Concepts Workshop, taken by itself, can be an effective training session. It can also be used as a method to make a decision as to whether or not to get involved in Teambuilding. But, taken by itself, it is not Teambuilding.

V. DATA ANALYSIS AND PROBLEM IDENTIFICATION

Soon after the Concepts Workshop, staff participated in another workshop. At this session, the data collected in Phase III was fed back to the staff of each house. There was no confidentiality! The objective of this session was for the staff to analyze their own data (to find the meaning that it had for them) and to identify and agree upon the significant problems that they must solve in order to become an effective organization.

VI. PROBLEM SOLVING

After analyzing their own data and identifying significant problems, staff at each house was involved in a series of meetings with and without the consultants. The objective was to methodically solve each problem and develop action plans to implement the solutions. It was at this time that the skills developed in the preceding phases were put to use.

VIII. REASSESSMENT AND RE-EVALUATION

After implementing the action plans, staff then got reinvolved in re-assessing and re-evaluating the results. Much the same procedures outlined in Phase III were used again. With new data and information the process begins over again starting with Phases V and VI and possibly Phase IV. This is done with little or no assistance from the consultants. What the staff has developed with the aid and expertise of the consultants is now an integral part of the organization. Team and organizational development continues.

The entire process for each house, beginning with Phase II up to Phase VII, collecting new data and feeding it back to staff, took sixteen (16) days over an average time span of three months.

This was a very brief outline of a very complex process. It is not within the scope of this article to give a complete understanding of the content of each phase of the intervention or what staff and consultants did between each phase. The significant learnings should be that Teamwork is a learned skill and that Teambuilding is carefully planned, with objectives unique to each organization or team. In addition, staff get directly involved in assessing their own organization and working relations, and work together to solve problems that are significant to them and the effectiveness of their organization. This is the process that builds an effective team.

OUTCOMES

The outcomes that can be expected from a successful Organizational Development/Teambuilding effort is the achievement of those areas listed at the beginning of the article. In effect, a better organizational climate where staff derive greater job satisfaction, where problems are perceived as opportunities for improvement, and where change and adaptation become an important dimension of organizational life for staff.

But, you may say that the goal of your organization is not to make staff's work experiences more satisfying. You are correct. The goal is to help residents to make a satisfactory adjustment in the community. Therefore, let's look at the major outcome of Teambuilding as reported by staff who were involved in the Michigan Project. The major outcome was almost immediate behavior change on the part of the residents and greater commitment on the part of residents to the program and their own development. This resident growth was the actual goal of Teambuilding. As staff developed into effective teams and problems were solved, residents also changed without ever being the direct object of modification.

WHAT DOES ALL THIS MEAN?

What does all this mean? Why were there behavior changes on the part of residents when staff were the ones who received direct services? One meaning, or conclusion, is that a large part of inappropriate behavior on the part of residents or clients in our Social/Treatment Agencies is a direct result of the organization itself; how it is managed and how staff work together. Therefore, should the first object of modification always be the residents? Should we always be looking for those "treatment programs" that are going to solve "all" of our

problems by controlling residents in order to have them conform to an organizational structure that may be causing the problems in the first place? Or, if you are experiencing problems with resident behavior and the achievement of your goals, should not the first object of modification by the organization? If you do develop your organizations and teams to be the best possible, then any continued inappropriate behavior on the part of residents is that which should be treated through specific treatment programs or procedures.

Another meaning of all this, as reported by staff involved in Organizational Development/Teambuilding, is that the residents do what the staff do and not what they staff say they should do. That is, behavior changes in the residents result from modeling staff behavior! Are some of your goals to have residents develop trust in other people, work constructively through conflicts that they encounter, help and care for people, work cooperatively with others, and be committed to continued growth throughout their lives? Then, what better way to achieve this than for residents to observe staff behaving this way towards each other daily. Residents do model staff behavior.

Two other less complex conclusions are: 1) through Organizational Development/Teambuilding, staff finally have the opportunity and skills to solve some major operational problems and 2) as staff develop into cohesive teams and agree upon goals and procedures, it becomes more difficult for residents to manipulate staff by playing one against the other.

CONCLUSION

The technology of Organizational Development/Teambuilding has much value for our work in Social Treatment Agencies. Business and industry had recognized this value 20 years ago. We are only beginning. Through this process some inherent organizational problems can be dealt with, staff can be developed, innovative programs can be designed, and the organization can achieve a capacity for continued growth in an ever changing environment. All of this means improved treatment effectiveness.

Many of us have had the opportunity to be involved in major changes in programs where we currently work, or even to have been involved in the starting of new programs, units or organizations. What we remember is how energetic and committed staff were, how staff looked forward to coming to work, and how creative solutions were generated to solve difficult problems. We remember how exciting everything was. But, as time went on and stability often referred to as organizational rigor mortis, was achieved these rewarding experiences diminished. We

tend to blame this phenomena on changes in staff, not being able to find as qualified staff as in the "good old days", changes in the type of residents, and beauracatic and legal constraints. These may have contributed to some degree. But, what was missing from our original planning was building in some mechanism or procedure in the organization that would continually revitalize and renew the organization. Something that would maintain the organization in a youthful stage of development and thereby prevent it from becoming stagnant and inflexible. This mechanism or procedure is what Organizational Development/Teambuilding is all about --continued organizational renewal. It is a process to be used when starting new organizations, developing new programs, modifying existing programs, and for revitalizing organizations that have been in operation.

REPORTED CHANGES

The basic intent of the Organizational Development/Teambuilding Project for the Halfway Houses in Michigan was to intervene in the on-going processes of each house in order to bring about change desired by both Staff and Residents. As mentioned, the targets for changes were the organizational structure and the staff teams. Below is a list of changes reported by the staff of the six Houses involved in the Project from February 1976 to February 1977.

1. Acting-out behavior on the part of youth decreased.
2. New residents are easily assimilated into the program and get off to a better start faster than before the Project.
3. Residents seem to be more responsive to all staff and not just responsive to a select group of staff.
4. Staff is assuming more of a treatment role with residents. Staff has taken over responsibility for developing and implementing treatment plans.
5. The counseling role is more evenly spread among all staff.
6. Agendas for staff meetings are prepared in advance.
7. The working relationship between County Supervisors, Field Placement Specialists and House Directors has improved.
8. Treatment plan formats have been developed and implemented.
9. There is greater input from staff at the staff meetings.
10. Staff has greatly improved in their ability to implement action-plans for problems to be solved. Before, decisions would be made and then nothing would come of them.
11. There has been an equal distribution of the work-load.
12. There is more personal sharing between staff.
13. Disruptive humor and comments has decreased during staff meetings.
14. Staff members are listening to each other more and are becoming aware of the difference of opinions.
15. Problem-solving and planning skills have improved.
16. The Directors are able to delegate more tasks and the staff is assuming the responsibility.
17. The staff has developed a genuine concern for program improvement.
18. Staff has become more sensitive to each other's feelings.
19. Staff has implemented ways to get more resident involvement in program and decision-making.
20. Shift schedules are being worked out for better programming for youth as opposed to staff convenience.
21. The amount and quality of staff interaction has improved greatly.
22. There is more teamwork within staff. People work together to solve problems.

23. All staff are voicing more opinions instead of sitting back and letting things go by.
24. Differences of opinion are accepted and conflict resolution has been legitimized.
25. Staff members are volunteering their own time more often to help the youth outside of their regular work schedule.
26. More experienced staff are training less experienced staff.
27. Staff has learned the procedures for solving problems and are using the procedures.
28. Staff members are providing each other with more positive feedback and reinforcement as they work together.
29. Residents recognize that the staff is becoming a team.
30. As staff has begun helping each other more, the residents have also begun to help each other more.
31. Residents have ceased playing staff off against each other.
32. The verbal and written communication between shifts has greatly improved.
33. The job has become easier because staff members are making more use of information in the log.
34. Staff has learned that there are many alternative solutions to any problem.
35. Staff members are trusting each other more.
36. Staff has learned to take leadership roles in staff meetings.
37. Staff has revamped organizational goals and policies.
38. All program rules have been evaluated by staff and residents. Those rules no longer functional have been eliminated.
39. The residents are more relaxed.
40. Group meetings with youth are of a better quality.
41. Residents are invited to attend staff meetings.
42. Staff members are overlapping in the performance of their roles.
43. Staff finds work more enjoyable and they look forward to it every day.
44. Staffs' family relations have improved.
45. Staff can use various decision styles and are becoming skilled in consensual decision-making.
46. More communication between directors and staff.
47. Directors making more and better decisions.
48. Directors get more feedback from staff.
49. Staff understands how good teams work and are able to maintain the process.
50. Group decision making is more constructive and of a better quality than individual decision making for complex problems.
51. Staff now perceives problems as opportunities for improvement.
52. Able to make program changes based on goal evaluation.

53. Staff is able to accept input from residents about program changes.
54. Staff shares more information with the residents.
55. Staff has become aware that there is an interdependence between them and the residents.
56. Program activities are better organized.
57. Staff is beginning to feel important on the job.
58. Each staff person has better insight into his/her own behavior and feelings.
59. Staff is becoming more career-minded.

It should be noted that this is not an inclusive list. Many other changes have been reported by staff in the six houses.

STAFFING AND PERSONNEL MANAGEMENT

A HUMANISTIC LOOK

Ken Ideus

The phrase "people make the program" isn't all that new to us and yet in these days of cost effectiveness and accountability we often fail to take a hard look at those people who make up the program. Our emphasis still seems to fall on organizational systems and structure and irregardless of the excellence of structured programs, some of them still fail.

Community residential treatment centers, especially in the area of corrections, are a relatively new concept and are thus under constant scrutiny. Thus developing credibility through stability and success is a priority at this point in time. That credibility can be obtained by utilizing a personnel management philosophy which will optimize individual staff potential. An emphasis is being placed in community corrections at looking at offenders as human beings rather than as social liabilities. In the same light we can look at staff as human beings rather than employees needed to carry out specific goals and objectives of the program. We often look at programs externally or objectively in terms of its outcomes or impacts, etc. The individual, however, working in that program looks at himself in relation to the process involved and his place in that process. This is the perspective from which we will be looking.

The intent here is not to de-emphasize the importance of organizational structure and program development as they are integrally involved in the success of a program. The point is in stressing the development of personnel management to a higher level of successful functioning. A marriage, then, of organizational management and personnel management can lead only to an optimally functioning program.

Basic Personnel Theory

A logical starting point for us would be to look at some general theories of man in relation to work. Through his research, the late Douglas McGregor developed or identified two basic theories which he called Theory X and Theory Y.

Theory X is looked upon as the conventional personnel management theory which assumes the following.

- 1) That man has an inherent dislike for work and will avoid it whenever possible.
- 2) Due to man's dislike for work he must be coerced, controlled, directed and threatened with punishment to get him to perform adequately for an organization.
- 3) Man prefers to be directed, avoids responsibility when possible, has relatively little ambition, and above all, seeks security.

These assumptions coincide with an analogy made of Adam. According to that analogy, God created Adam with somewhat of a feeble mind and at the same time created the tree of knowledge. When Adam ate from that tree and was able to see and understand what was going on around him, God banished him from his care-free existence and made him work to stay alive. Thus work became a form of punishment and has remained so. We'll discuss a biblical counter to that analogy in a later discussion.

Following Theory X has led to two basic types of management- hard and soft. Where hard forms of management are put into effect through the use of tight controls, threat of punishment for lack of activity and other coercive methods, negative results occur. The physical laws tell us that for every action there is an equal and opposite reaction. Thus, when a great deal of force is used an equal amount in the form of resistance can be expected. Though that resistance may not appear overtly it will most likely occur in the form of undermining, lack of incentive and the ever known method of "working to rule." In the same light soft management offers little more in terms of organizational output. A staff under very loose management with little direction or control may be working happily and harmoniously while accomplishing little. In both cases the problem lies in disregarding the presence of positive motivational characteristics in individuals in establishing a management plan.

This leads us to McGregor's second theory which is Theory Y. Theory Y is based on behavioral research and motivational theory. The following are assumed under Theory Y:

- 1) The expenditure of physical and mental effort in work is as natural as doing so in play or rest.
- 2) Men will exercise self-direction and self-control toward achieving objectives to which they are committed.
- 3) Commitment to objectives is a function of the rewards associated with their achievement.

- 4) The average human being seeks out responsibility under the proper conditions.
- 5) Most people are capable of a relatively high degree of imagination, ingenuity and creativity in solving organizational problems.

Should the above assumptions be true they do not imply that they will be displayed under any given set of circumstances. One must, as a manager, be able to supply the type of system which will allow and nurture their development. To do so, an additional understanding of motivation and how to tap its use is needed.

Using another biblical analogy mentioned earlier, let's take a look at the character Abraham. Abraham was looked upon as a successful person who utilized ingenuity and responsibility in a productive manner. Work was not looked upon as a punishment but as a means of gaining rewards which led to a more harmonious existence for him and members of his family.

Motivational Theory

In recent years management has begun to look at the work of Dr. Abraham H. Maslow, one of the leading behavioral theorists of our day. Through his research, Maslow has determined that man's behavior is determined through need gratification. Man continuously works toward basic goals and these goals take the form of basic needs we all have a desire to fulfill. His work is best illustrated in what is known as the "Hierarchy of Human Needs". The Hierarchy is divided into five categories: Physiological Needs, Safety Needs, Belongingness and Love Needs, Esteem Needs and Self-Actualization. The higher the level of the need, the more intrinsically gratifying is the fulfilling of that need. In addition, as Maslow sees it, we as human beings aren't concerned about meeting any given level of need until lower level needs are satisfied.

Application of Theory

Now, how do we get around to applying all of this to personnel management - well, no one said it was going to be easy.

First a basic understanding of how to use motivation. Motivation is internal. A common mistake is our trying to motivate people externally. Example: "What can I do to make you excited about your work?" A better question might be: "What types of rewards can I build into my program that will help in your becoming more excited or motivated to actively take your part?"

Another step to take is to look at Maslow's Hierarchy and determining what it actually means in terms of gaining output from an individual toward achievement of goals. The first four levels relate to things that the program can do for

the individual. The top level, self-actualization, relates to what the individual can do for the program. This level is where the best of the individual comes through in the form of creativity, accomplishment for the sake of personal accomplishment, what I am saying here is that if we set up our organization in such a manner as to meet the first four levels of need we allow a staff member to reach for the next level bringing out the best in that individual.

In looking at how we can meet those lower level needs in our programming it might help to look at the work of Dr. Frederick Herzberg. Basically he has divided job satisfaction into two areas: job context and job content. Job context factors might consist of the following:

- 1) company policy and administration
- 2) supervision
- 3) working conditions
- 4) interpersonal relations (with fellow workers)
- 5) salary
- 6) status
- 7) job security
- 8) personal life

Job content factors would be:

- 1) achievement
- 2) recognition
- 3) work itself
- 4) responsibility
- 5) advancement
- 6) growth

Herzberg named the two groups of factors dissatisfiers and satisfiers respectively. The reason for doing so was that in his research the context factors were mentioned by research groups only in relation to dissatisfaction while the second group of items were mentioned only in relation to job satisfaction. This relates to Maslow's belief that lower level needs are only motivators when they are lacking. Whereas higher level needs may continue to be sought even after they are met. Looking at the above two groups of factors one might easily place context factors into lower level needs and content factors into higher level needs. What often happens, especially in larger organizations, is that a great deal of emphasis is placed on "personnel policy" i.e. benefits, retirement, vacation, etc. without looking at higher level needs. Managers are thus dumbfounded when, despite their excellent personnel policies, their staff remains relatively unmotivated. Again, the intent is not to de-emphasize good personnel policy but to add a "don't stop

there". The reason for the last point is that people will move to a higher level on the hierarchy until lower level needs are met.

The primary point to be made of the above discussion is the motivation, satisfaction and achievement of organizational goals are heavily dependent on the proper consideration of higher level needs.

Motivation Exemplified

To more clearly demonstrate my point on motivation, I would like to share with you the background for my intensity on motivation. To obtain some informal staffing pattern information on residential programs I had decided to contact two model agencies - Boys Town based in Omaha, Nebraska and Lighthouse, a therapeutic community for drug treatment, in Montana.

Don Weber, the personnel director for Boy's Town residential centers, described the highly successful use of the Teaching Family concept in their centers which number close to one hundred. As to why they deleted the use of shift patterns for staffing in their centers he cited the following:

- 1) Lack or diffusion of accountability for staff responsibilities.
- 2) High staff turnover and thus poor cost effectiveness in training.
- 3) Shift staff were not integrally involved in treatment and thus had little investment in client success.
- 4) One or more professional persons received credit for client success.

The Teaching Family concept has been working well for them and when questioned about burnout it appeared to be less than a problem if any at all. This seemed surprising as Teaching Families are on the job twenty four hours a day, seven days a week with very little vacation. Yet their average turnover rate per center was between eighteen to twenty four months and then it was usually a transfer to another Teaching Family position. Weber attributed the success to the following points:

- 1) Teaching Families are highly trained prior to their first position.
- 2) The Family is accountable for the total program and maintains responsibility for control.
- 3) Families have a great deal of personal investment in the program.
- 4) Attitudes are clarified prior to entering training.
- 5) A career ladder exists.
- 6) Can raise their own families in the work setting - work is home.
- 7) Enough space in the physical setting.
- 8) Salary- good and getting better.

Two things came to mind from the discussion:

- 1) Apparently the intrinsic rewards outweighed the physical demands as salary and time at work seemed less than desirable at first glance.
- 2) How did Lighthouse, operating with a shift staffing pattern, also have such a high degree of overall program success and low staff turnover.

I then visited Lighthouse and spoke with the director, John Weida, to find out some answers there. He also informed me that burnout didn't seem to be an issue and that this point in their three years of existence they had only one full time staff member leave, after over two years of serving the program. These are some of the points he gave for their success as a staff:

- 1) Each staff member is involved in the decision making process for the program.
- 2) Administrative considerations are shared by and with all staff.
- 3) The staff and clients function as a Family with group and individual responsibility for its proper functioning.
- 4) Recognition is given by and to staff on a spontaneous basis as positive things happen.
- 5) Shift communication is structured and done in writing to assure flow.
- 6) Initial screening for staff received a great deal of attention.
- 7) Individual flexibility and creativity toward positive growth of the program is encouraged.

By reviewing the information from both programs it became clear that program success and staff satisfaction were related to the meeting or allowance for meeting of higher level needs. As one example, in both modalities the number of staff is relatively low and individual involvement and responsibility is high.

Motivation: A Step Further

In both of the above examples, staff selection was perceived as highly important. This leads to one more direct application of motivational theory to personnel management which is probably the most innovative and advanced process available at this time. The system I am speaking of has been developed by Kenneth G. Neils, APD., and David E. Barbee, PH.D. of Human Potentials, Inc., Big Fork, Montana.

They have taken motivational theory a step further than we have talked about thus far. Basically, what they are saying is that all persons have motivational potential and furthermore, individuals have specific areas in which they are primarily motivated in their efforts to meet need levels.

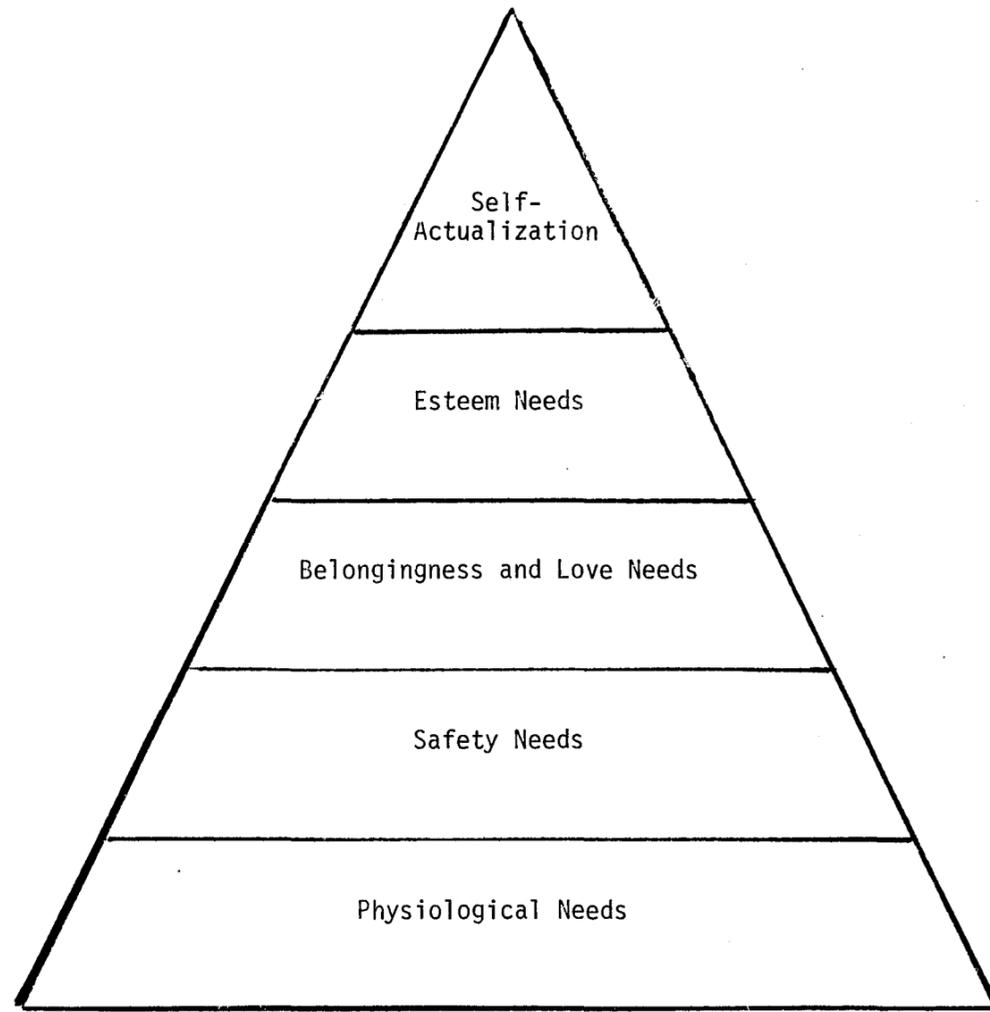
Responsibility then for personnel management lies in identifying those "motivational traits" in individuals and utilizing that information in staff selection for positions. By matching motivational traits to job descriptions we can obtain optimal performance from individuals. Staff selection is only one function of this system as it has implications for many other facets of personnel management. Human Potentials, Inc. has at this time the technology and developmental experience to assess motivational potential and has experienced a high degree of success and support for their ideas and concepts.

Another Screening Device

Another technique which assesses both motivation for a given position and also current applicant competency is the "in basket" technique. The "in basket" technique was developed primarily for selection of applicants for administrative positions. The technique consist of analyzing the position in question and determining several situations which are likely to arise in relation to it. Those situations are then put in written form by way of hypothetical letters, memos, documents, etc., which must be answered in the manner actually required by the position. The applicant is given a description of the applied for position and asked to respond in the appropriate manner to each of the positions. The applicants responses are then evaluated in terms of interest, competency and appropriateness for the position applied for.

Variations of this exercise can be generated to apply to specific positions even on a non-administrative level.

In summary the staffing pattern is dependent upon the type of program with any number of variables given the wide use of residential facilities. Therefore, the pattern itself will often be based on organizational need or the system to which the organization belongs. What is key then, is determining how to best utilize the motivation of individuals and thus optimize functioning of the programs.



"Hierarchy of Human Needs"

Sources of Information

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Don Weber, Personnel Director for Boy's Town Group Homes, Omaha, Nebraska.

John Weida, Director, Lighthouse, Galen, Deer Lodge, Montana.

EVALUATION

E. L. Hall

and

Gary Buchanan

The subject of evaluation is much too broad to cover in a two and one-half hour session on a Friday. Our purposes, therefore, are not to accomplish more than a brief overview of the area and achieve some familiarization with the concepts involved.

Three definitions provide a basic groundwork on which evaluation can be understood:

1. Evaluation 1) assumes the effectiveness of an on-going program in achieving its objectives 2) relies on the principles of research design to distinguish a program's effects from those of other forces working in a situation 3) aims at program improvement through a modification of current operations.
2. A process for making judgments about selected people, objects and events by comparing them with specified value standards for the purpose of deciding among alternative courses of action.
3. The measurement of the achievement of a program's goal(s).

Important in these definitions is a stress on the linkage between the goals/objectives of a program and measurement (by some means) of achievements or impacts. Goals/objectives must be very clearly defined to achieve measurement.

Measurement is a key link. How do you measure? What are the standards? (inches, grains, rods, attitudes, etc?) Measurement by some instrument involves, then, application of the cannons of social science research. How can we be sure what is measured is valid and reliable?

The classical experiment is the chief tool used to be most certain of your results. The experiment controls extraneous variables, helps insure explanation without 'rival' causes being highly possible and provides for randomization. In social science a classic experiment is rare, very rare.

Other means of assuring results which are often considered less 'strong' than the experiment, are:

- 1) Quasi experiments (locking full control of variables.)
- 2) Pre-experiments or case study.
- 3) Survey research
- 4) Cost-benefit research
- 5) Administrative audits
- 6) Operations research

There are numerous taxonomies of evaluation research. This is but one. Nonetheless, the key in all remains the link between goals/objectives of a program and some measurement of accomplishment or impact.

In corrections, a focal concern in the nexus between measurement and goals has been recidivism. It has been defined hundreds of ways and remains a popular measure. Alternative measures are warranted, are sought, but few are found which have meaning in terms of our stated goals/objectives. Recidivism will remain a popular measure as long as program goals are defined in terms of recidivism.

Recidivism implies a need for "correction" and once corrected the effect is lasting. Perhaps measures of the "extinguishing" of correction once administered may be useful? Further, recidivism relates to failures of a system rather than individual success or failures. Recidivism does not measure all aspects of a program's benefits or problems. Neither does recidivism do more than dichotomize into either success or failure. Recidivism too, is time bound, locked into a static, photographic-like measurement in what is really a fluid program (system).

Ingenuity and creativeness can develop alternative measures on which programs can be evaluated. For example, authors have created rates or ratios (such as a rate of failures per total time out for both failures and successful participants.) The "Relative Adjustment Scale" in Ohio (Seiter, Richard; 1974 and 1977) uses factors which combine the two goals of community corrections:

- 1) Reintegration
- 2) Reduce Recidivism

The scale, which combines measures of criminal behavior and "reintegrative adjustments" (keeping a job, etc.) provides a score upon which a program can be measured. Thus a program participant who commits a misdemeanor is not necessarily a failure and can even be very successful when reintegrative adjustments (working steadily for six months) are added in.

Seiter has done much to expand upon alternative measures and he has provided a succinct analysis of the state of the art in evaluation of community corrections programs. His work gives a good description of the types of evaluation which have been used as well as refining our thinking to look for alternatives to "recidivistic" measures. In his research on 55 programs, most (35) used a post-program success measure (i.e. recidivism). Of these, 17 were quasi-experimental. (Eleven report reduced recidivism, five report no difference, and one reported an increase in recidivism.) Sixteen of the 35 were non-experimental designs. In these, recidivism ranged from 0% to 43%, averaging 20%. Two programs claimed to have experimental design and both found no significant reduction of recidivism.

Thus, recidivism is a locking measure. Seek additional or alternative measures which are meaningful wherever possible. (It may be impossible in some instances.) Goals and objectives need to be re-thought to escape the inevitable measure of program success based on recidivism. State the goals clearly and in ways in which they can be measured. Performing evaluation then becomes a matter of deciding at what level it is to be accomplished and what level of expertise is needed to accomplish it.

SUMMARY OF THE STEPS IN THE EVALUATION PROCESS

PHASE I: SELECTING THE EVALUATION TOPIC

Step 1: Identify the evaluation priorities

1. 1. Identify your evaluation interests - consider and list questions to be answered, hypotheses to be tested, judgments and decisions to be made, program goals and objectives, problem areas, major issues.
1. 2. Rank order these interests according to their utility-consider utility for management, public relations, accountability, reputation.
1. 3. Negotiate consensus on the order of ranking (priorities)

Step 2: Clarify the evaluation subject

2. 1. Review the relevant literature, documents, records.
2. 2. Identify the object, person, or event to be evaluated.
2. 3. Determine the number of subjects to be evaluated.
2. 4. Identify any features to be given special emphasis.
2. 5. Identify the type of evaluation to be conducted: need, design, performance, impact.

Step 3: Clarify the objectives of the subject

Step 4: Specify the objective of the evaluation

4. 1. Identify the target audience of the evaluation.
4. 2. Define the purpose of the evaluation in relation to the target, audience: information, judgment, decisionmaking.
4. 3. Specify the decisions and the decision options the evaluation should address.
4. 4. Determine the deadline(s) for the evaluation and the frequency of conducting it.

Step 5: Ascertain the feasibility of the evaluation

5. 1. Determine whether the evaluation can be conducted. Identify any technical problems that might make the evaluation impossible: lack of data, no objectives, no way to measure impact. Estimate the resources potentially available and compare those with what might be required; or determine what could be done with the available resources of staff, money, time and equipment.
5. 2. Determine the probability that the results will be used. Identify the internal and external constraints that might inhibit the use of the evaluation results. Identify the positive internal and external factors that might support use of the evaluation results.
5. 3. Revise the subject or objective, if necessary.

PHASE II: DEVELOPING THE EVALUATION PLAN

A. THE JUDGMENT STEPS

Step 1: Select the study design

1. 1 Review your evaluation needs (check the purpose, audience, timing, constraints).
1. 2 Consider the alternatives: experimental vs. non-experimental designs.
1. 3 Select a design.

Step 2: Select the evaluation criteria

2. 1 Review your needs (check purpose, decision options, program objectives, emphasis, and constraints).
2. 2 Consider the alternatives: effectiveness or efficiency or both.
2. 3 Select the criteria.
2. 4 Assign weights (unweighted, ranked, scores).
2. 5 Select the measures (counts, rates, ratios, proportions, percentages, indexes, formulas).

Step 3: Select the evaluation standards

3. 1 Review your needs (see the type of evaluation and study design).
3. 2 Consider the alternatives: need, demand, plan, past performance, similar subject, control groups, requirements, professional standards, optimal model.
3. 3 Select the standards.
3. 4 Assign weights.
3. 5 Select the measures.

Step 4: Develop the analysis plan

4. 1 Review your needs (review the purpose, study design, criteria, and standards).
4. 2 Consider the alternatives: statistical or nonstatistical.
4. 3 Outline the plan; classification, codification, tabulation, statistical manipulation, interpretation.

B. THE DATA PROCESSING STEPS

Step 5: Develop the sampling plan

5. 1 Review your needs (check the study design and criteria).
5. 2 Consider the alternatives: nonprobability vs. probability samples.
5. 3 Outline the sampling plan: population, sample design, sample size.

Step 6: Develop the data collection plan

6. 1 Review your needs (check the criteria and sampling standards).
6. 2 Consider the alternatives: direct observation, direct reports, records.
6. 3 Outline the data collection plan (sources, methods, instruments, frequency, and timing).

Step 7: Develop the reporting plan

7. 1 Review your needs (audience, timing, frequency, purpose).
7. 2 Consider the alternatives: oral, visual, both.
7. 3 Outline the reporting plan (medium, format, timing, style).

C. MANAGEMENT

Step 8: Develop the management plan

8. 1 Review your needs (products, tasks, time-frame organization, resources).
8. 2 Consider the alternatives: organization, resources.
8. 3 Outline the management plan (organization, staffing, tasking schedule, budget, monitoring, and supervision).

PHASE III: CONDUCTING AND MANAGING THE EVALUATION

Step 1: Make staff assignments for the evaluation

Step 2: Develop the evaluation and management procedures

2. 1 Review your needs (from Phase II: measurement, sampling, data collection, data analysis, reporting, management procedures).
2. 2 Consider the alternatives: develop them yourself, consult experts.
2. 3 Develop the procedures.

Step 3: Pre-test and revise the evaluation procedures

3. 1 Review your needs (time, resources, staff, methodology).
3. 2 Consider the alternatives: review, simulation, field tests.
3. 3 Implement the pre-test (select the procedure conduct the test, refine the evaluation).

Step 4: Collect and analyze the data, and report the results

4. 1 Implement the Evaluation Plan (draw the sample, collect the data, analyze the data, report the findings).
4. 2 Identify and solve problems.

Step 5: Develop strategies for using the evaluation findings

5. 1 Review the evaluation findings (primary report, other literature).
5. 2 Evaluate the Evaluation (Did it meet its objectives? Was it efficient?)
5. 3 Develop action strategies (take no action, disseminate results, make recommendations, develop new programs, modify existing programs, terminate programs, investigate further).

PROVING YOUR POINT

J. Brian Riley

Probably more than at any other time during the last decade, correctional programs are under intensive scrutiny. Rising crime rates, escalating costs, judicial intervention, disenchantment with past results, offender agitation for change, etc. have all contributed to this situation. Dr. Martinson's comment that "nothing works" based on his research finds, David Fogel's "justice model", mandatory sentencing, longer sentencing, efforts to eliminate Parole, Mutual Agreement Programming, more institutional construction and commitments are a few of the responses to this scrutiny. This concern is most critical for community residential treatment programs because of the reduction of LEAA money available for such programs while increased commitments further reduce the financial resources available.

On the other hand, studies conducted by Ohio State University, the Massachusetts Department of Correction, the Massachusetts Research Center, the Correctional Economics Center, the University of Hawaii and Gene Karacham, among others, have demonstrated that community residential treatment centers can be effective and efficient as alternatives to traditional incarceration.

By and large, however, CRTC's have oversold their capabilities, have not identified and measured their performance in short term concrete behavioral goals, and have not developed public support for their continued growth and survival. Such shortsightedness has also prevented the development of data for making sound management decisions within CRTC's.

To reverse this trend, I recommend an internal data system to identify the programs' short-term goals, and to measure program performance in reaching these goals. Many programs are subject to continuous criticism because goals are subjective and open to misinterpretation. The first step, then, is to state program goals in realistic, concrete terms. A program should not only say how many residents it will work with in a given year, but how many will successfully complete the program. For those successfully completing the program, a number of additional goals should be included.

Such a statement has five main advantages:

1. The public is explicitly told that such a program can do. Implicit in the statement is what it cannot do or be responsible for.
2. The potential residents of such a program have a clearer idea of what will be expected of them. This will reduce manipulation and tension between residents and staff.

3. It afford the program the opportunity to be measured against other programs by objective criteria when funding priorities are considered.
4. It establishes the performance to be measured for making management decisions. These measurements are used in identifying staff and resident strengths and weaknesses, as well as overall program results.
5. It limits the confusion associated with the goal of reducing recidivism which can only be accurately measured scientifically over a much longer period of time. The need for a control or match group has also limited our ability to measure a program's impact on recidivism.

The following is an example of a summary of program objectives for a CRTC:

Resident Flow Summary

1. 75% of program screened applicants will be accepted.
2. Occupancy will average 85% of capacity for the year.
3. 80% of those released will be successful program completions.

Resident Service Summary

	<u>% of Completions</u>
1. Full-time Vocational Placement	95%
Employed	65%
School	10%
Vocational Training	20%
2. Upgrading Vocational Skills	30%
3. Accepted by State Vocational Rehabilitation Agency for Services	25%
4. Money Management	100%
Weekly Financial Budgeting	100%
Average Savings	\$300
Reestablish Positive Credit Rating	50%
5. Leisure Time Activity	100%
Individual	75%
Program	100%
6. Volunteer Community Service	50%
7. Participation in Out-Residency Before Completion	50%
8. Relocation to a New Neighborhood Upon Completion	50%

This summary should be accompanied by a fuller statement explaining each point in more detail. Such a statement would also identify time frames in which activity will occur, and who on the staff will be responsible for providing or developing which services.

In order to monitor program, staff, and resident performance in these areas, simple weekly, monthly, quarterly, and annual reporting forms need to be developed. Following are samples of these forms.

MONTHLY REPORT

Program _____

Month _____

Service Category	Goal	Performance	Discrepancy	Prior Quarter
# Referred/ % Accepted	/75%			
Occupancy Rate	/85%			
# Released/ % Successful	/80%			
1. Vocational Placement	95%			
-Employed	65%			
-School	10%			
-Vocational Training	20%			
2. Skills Upgrade	30%			
3. Voc. Rehab. Acceptance	25%			
4. Money Management	100%			
--Budgets	100%			
--Savings	\$300			
--Credit Rating	50%			
5. Leisure Time Activity	100%			
-Individual	75%			
-Program	100%			
6. Community Services	50%			
7. Out-Residency	50%			
8. Relocation	50%			

The quarterly and annual report forms are identical to the monthly form. As you can readily observe, it is quite simple to understand a program's strengths and weaknesses at a glance with this data.

Other variations would be to report out the same information on unsuccessful program releases monthly, quarterly, and annually and/or compile these reports by counselor before doing the consolidated program report.

Counselors are directly responsible for their clients. Their supervisors are responsible for validating the accuracy and completeness of the information. Program directors are responsible for analyzing the information and developing immediate corrective action when performance falls more than 10% below the goal.

To enhance the image of the program other data can be easily included, such as each resident's weekly salary, federal and state taxes paid, family support payments made, program costs, etc.

This approach clarifies what a program can do and takes very little time to set up. Staff resistance results because the information provided can lead to staff accountability. Therefore, these performance goals must be developed with the staff, and reviewed at least annually to ensure staff acceptance and commitment.

In spite of the value of such an approach, possible limitations that need to be watched for are:

1. Goals can be reached without learning desirable behavior patterns. A resident could save \$300 without developing a stable, realistic budget and thus not learn the skills of money management.
2. Areas outside the control of the resident or program could prevent the desired performance from being achieved. A sudden drop in employment opportunities would have an impact on not only the vocational goals but also the money management goals. The same is true if the number of referrals is insufficient to maintain the occupancy rate.
3. Services may become limited to insure a program's or staff member's "successful" performance. Higher risk goals could be dismissed while high probability goals would be included.
4. These limited goals could force residents to reject their needs and interests for the programs.
5. Staff could lose sight of individual resident concerns and become focused on the numbers game.
6. The goals could become too rigid, eliminating the necessary flexibility for insuring realistic expectations afforded by resident and staff capabilities and community resources.

7. Programs may attempt to "cream" residents and reject applicants who need the services the most.

Careful consideration and monitoring of these issues is critical if continued growth of viable and effective CRTC's is to occur.

COMMUNITY CORRECTION MANAGEMENT AND THE LAW

Professor Larry M. Elison

Upon conviction of a felony a person loses his presumption of innocence; his life pattern is forced to change in many ways. The change can be as real as prison or as ephemeral as a psychic click.

In Montana the judge has sole and exclusive authority to sentence the convicted felon. The judicial discretion is enormous and ultimately determinative of the kind of physical and legal changes. Essentially the judge does one of two things; locks the person behind walls or releases him from physical custody. If he is released from physical custody it will be on one of two theories; one, on a deferred imposition of sentence, i.e. a decision by the judge that the defendant is free to go and sometime later he will be sentenced or perhaps if all goes well for a stated period of time the charge may be dismissed and the record cleared; two, a suspended execution of sentence, i.e. an actual sentence is imposed but its execution is suspended. If either of these sentencing techniques is used (deferred imposition or suspended execution) it is assumed the defendant will be placed on probation for either the period of the deferred imposition or the suspended execution. Finally, if the defendant is locked up it is likely that within a few months, or at the most a few years, he will be released. Upon release it is expected that the defendant will be placed with an officer for the period of his parole.

A new direction of some significance in this whole process is community corrections, often equated with half-way houses but in fact encompassing a much broader concept than half-way houses. Any local operation or facility that attempts to deal with criminal offenders should be a part of an integrated correctional scheme referred to as community corrections. However, this discussion will center on so called half-way houses or community correction facilities

which strive to re-integrate offenders on their way back to the community from centralized prison facilities. Unfortunately, such facilities are so limited in availability they should probably be used primarily for offenders before they enter centralized prison facilities in an effort to socialize and re-integrate without institutionalizing.

There are generally three alternative approaches by which clients enter community correctional facilities. They include pre-trial diversion, direct court commitment after a plea of guilty or after convicted, and after a term in prison but before outright release.

Pre-trial diversion is a quasi-voluntary commitment and as close to a voluntary commitment as you are likely to encounter. Although the arrangement may be extra legal it would nonetheless be advisable to formulate a written contract signed by the client-suspect, the county attorney and perhaps a representative of the community correction facility. Any agreement made is probably not enforceable. The real outer limit is the applicable statute of limitation.

A direct court commitment after a plea of guilty or after conviction might be made as a condition of probation associated with either deferred imposition of sentence or suspended execution of sentence or a direct commitment might be made as if the community correction facility were a prison of sorts. Since there are no cases directly in point these approaches might be contested but not likely, because success for the unhappy client would mean new sentencing by the judge which would be to a formal correctional institution and not as a condition of probation. The "correctional institution" would most likely be the prison.

A return to a community correction facility after a court commitment to the prison would rely on some scheme of parole or work furlough.

The discretion to assign is within the department of institutions and is limited according to legislative authorization and guidelines prepared by the department. The conditions of any release to a community correction facility should be clear, concise and specific and should be communicated to both the client and the director of the community correction facility.

Insofar as possible, the conditions should be the same whether the commitment is made at pre-trial diversion, after plea or conviction by the court, or after a return from prison. This should not be a large problem in a community correction facility since the client population is carefully selected and the total client population is very small relative to the administrative staff and the case workers. However, to protect against biases and unfettered discretion, parameters of approach and presentation should be established.

It is easy to treat people according to what we think is good for them. It is difficult not to be influenced by sex, color, age, general appearance and general attitude, and respond accordingly. Hence there is a need for definitive guidelines. Statutes and case decisions attempt to establish minimums but can only do a rough and somewhat uneven job.

The lawyer's advice is based on what is the "legal minimum" in a correctional setting. The community correction facility should decide what will satisfy the needs of the center . . . and then ask the question, is it legal? I doubt there will be any legal question if you proceed on the basis of what is good for the community correction facility. Some things to remember as you formulate guidelines:

1. The facility must be safe to be legal.
2. The facility needs some security to meet community protection requirements and to avoid tort liability.

CONTINUED

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3. The clientele needs to be carefully selected to meet the limited security the facility provides, to avoid tort liability and to be accepted in the community.

4. The consent or the commitment which is the basis of the client's presence should be known, but the operation should be such that any "ordinary consent" or "typical commitment order" will provide all the authority any community correction facility would ever need.

5. Regulations should be clearly defined and made known to the clients before the fact to avoid charges of capriciousness and arbitrariness.

6. Finally, regulations should be directed toward the needs of clientele first; the protection of the community first; and the convenience of the administration last!

The courts are unlikely to interfere with community correction efforts insofar as the techniques are less restrictive than a prison environment.

The principal difficulty in assessing the legal position of the client of a community correction facility is the variety of terms of confinement coupled with the dearth of court decisions directly in point. In general, the law urges a balancing of the legitimate interests of the state against the personal liberties of the individual.

In application this standard for measuring the activity of a community correction facility will be different than that for prisons since community correction facility residents are by definition less dangerous than inmates of prisons. In judging on scale, a community correction facility being a "half way" measure of control between prisons and on the street supervision should be permitted somewhat less restrictive control devices based on the original classification of the client or the advancement made by the client

or the client's nearness to institutional release or ultimate freedom from any state supervision.

The need to confine is less, therefore the legitimacy of confining regulations is less.

Prisoners retain all rights except those taken from them by law. In some jurisdictions the legislative pattern is very restrictive and conviction of a felony destroys all or most civil and constitutional rights. Some constitutions declare felons civilly dead with all the collateral disadvantages that entails. Montana places the burden on the court to specify and to justify all rights taken from the prisoner. The Constitution and the Montana statutes automatically restore all rights upon termination of state supervision.

For community correction facility administrators, the first concern is to maintain due process and equal protection.

As to equal protection within the community correction facility, it is necessary to treat each resident in an even-handed fashion. This does not mean each person is treated exactly like every other person. Each person is a separate human being with unique needs, but all should receive medical care as needed; all should be treated in an equal manner for violating the same regulation.

The resident must know what is permitted and what is prohibited. Written rules with explanation are essential.

In any treatment center the resident should understand "why" conduct is permitted or is prohibited. Even though the resident disagrees with the rule or contests the logic or effectiveness of the rule or its purpose, at least he knows what it is and why it is. Further, explanation forces the creator of the rule to consider the justification and if he can find no justification the

administrator would do well to reconsider the rule.

The rules and their explanation should include the disciplinary measures that attach to the breach of each rule. The ultimate sanction in a community correction facility is a very easy one as compared to a central prison facility, i.e., transfer back or re-commitment by a court, or outright release if based on voluntary consent with no coercive aspect; often, however, this could mean sentencing or facing criminal charges.

Rules should be clear and concise. Insofar as possible, they should be geared to specific limited punishments. Not only to satisfy due process but also to meet the legitimate demands of treatment.

Fact finding should be a very serious matter if the resulting punishment could be substantial. Due process requires that the client be given notice of the charges, an opportunity to be heard with a decision by an impartial decision maker. A written record and a careful investigative process should be part of every determination.

The problem areas most likely to erupt can be divided into two groups. Group I includes:

- a) drugs
- b) theft
- c) assaultive conduct
- d) misuse and abuse of property or of staff.

Group II includes

- a) refusal to maintain sanitary conditions
- b) refusal to go to work
- or c) refusal to help in the center.

The first group are in all probability potential criminal offenses and generally will result in the offender going before the court. The second group should be handled internally.

Punishment must be proportionate to the offense and cannot be cruel and unusual.

Kinds of punishment classified as cruel and unusual by the U.S. Supreme Court include the following: 1) Anything unnecessarily cruel (Trop v. Dulles, 365 U.S. 86, 99 (1958)); 2) Any punishment which is disproportionate to the offense (Weems v. U.S., 217 U.S. 349 (1910)); 3) Any punishment which is unnecessarily painful or unreasonably severe (La. ex rel Francis v. Resweber - 329 U.S. 459, (1967), Wilkinson v. Utah, 99 U.S. 130, 135 (1878)); 4) Any punishment for status crimes is cruel and unusual. (Robinson v. Cal., 370 U.S. 660 (1962)).

In judging punishment in the institutional setting the questions most often raised are: Is the prison penalty disproportionate to the offense? Is the implementation unreasonable? Corporal punishment is out, that is, whip, fists, and electric prods. This does not mean physical contact is always illegal. Force to move a prisoner or in self defense may be required. Confinement in a maximum security facility does not constitute cruel and unusual punishment. Prolonged nudity, overcrowding, unjustified physical assaults, inadequate food and water, inadequate ventilation or heat, inadequate medical care, unsanitary living conditions, and excessive length of confinement are cruel and unusual.

Cruel and unusual punishment should not be a real problem in a community correction facility unless some unusual psychological techniques are employed.

A lot of discussion has recently centered around the concept of "least restrictive alternative." Cruel and unusual punishment could build on that base and be given a more understandable direction. Such a legal premise might, for example, support capital punishment in one case and deny jail time in another. It might support isolation in prison but not in a community correction facility.

In prison freedom of movement, of action, of association and of expression is necessarily limited. The most significant right that remains is the right to be protected from physical and psychological assaults that threaten health and sanity.

But there is a very real difference between prisons and community correction facilities. Prisons are forced to deal with the most difficult population that can be found in a given geographical area, whereas residents of community correction facilities will be selected individuals. Further, if any action by the resident is so severe that the staff cannot manage within the limits of their ingenuity and the limits of the facility the act almost surely will be criminal and potentially subject the offender to a new court determination or justify a transfer to a more secure facility.

Generally, a prisoner has a right of access to the courts and some kind of right to counsel. In Montana the right to counsel is primarily maintained via a law student program. Access to courts and counsel is maintained by direct interview and mail. The prison's right to block or censure correspondence between inmate and court or counsel is limited but exists.

Inmates have a right to worship and to be visited by religious representatives. Religious belief and religious ceremony cannot be enforced or prohibited. This is not unlimited. If the religious activity represents a clear and present danger to prison security it may be restricted. There have been some disputes as to what constitutes a religion. As to speech and correspondence, the new trend is toward requiring the prison officials to justify any restrictions. The prison's legitimate concern for security and discipline is balanced against the inmates' interest and need to correspond. Rights to receive visitors may be more restrictive but must be based on security or administrative manageability. There are very limited rights as to

grooming and attire. Rights as to court access, to counsel, to exercise of religious freedom, to correspond and to receive visitors are at least as broad for clients in a community correction facility as in prison and should be more expansive, although courts are not likely to demand more rights or more complete exercise of rights for community correction facility residents.

Each community correction facility should develop a process for dealing with disputes between inmates and inmates and staff. The process should be swift, fair and decisive, including a process of complaint, investigation, hearing and resolution.

Disciplinary methods employed cannot be cruel or unusual. They must follow procedural due process. They may include punitive segregation, loss of good time and loss of visitation rights. The process required will vary depending on the seriousness of the potential resulting punishment. The more serious cases may require notice, hearing, proof, counsel and the decision should be subject to some kind of appeal.

Every inmate or client has a right to a safe and healthy environment. A first requirement is the protection of inmates from each other, from themselves if they are self-destructive, and to provide them with a facility which meets minimum safety standards.

An equally impartial and collateral right is the right to adequate medical treatment. Broad discretion is permissible but must be reasonable. The medical service provided need not be the best but cost cannot justify limiting health care.

A prisoner's right to be free from searches and seizures is narrowly limited. Generally, prison officials may subject inmates to institutional searches unimpeded by 4th Amendment barriers. The developing case law seems to be not so much toward the elimination of the 4th Amendment protections for

various classes of persons, but rather the utilization of a sliding scale of reasonableness. For example, there is a vast difference in the need to search and the scope of search depending on whether the search is in an airport, at a border, in a private home, in a prison, or in a community correction facility. Standards for a community correction facility search should avoid undue force, embarrassment or indignity; they should rely on non-intensive sensors whenever feasible; and should be no more frequent than absolutely necessary. Rights of privacy and the right to not have conversation surreptitiously seized are of doubtful availability to prisoners.

Miranda rights and the right to counsel are available if the interrogation goes to a new crime, but not if it relates only to a prison investigation leading to potential punishment for violations of a prison regulation.

Finally, every person has some right to privacy, even prisoners and persons in community correction facilities. The right is first based upon the U.S. Constitution, second upon state constitutions, third upon federal statutes, fourth upon state statutes, fifth upon a number of court decisions, and finally upon a plethora of regulations. With such impressive credentials you would think the right is well protected. Not so!

We are in the age of cybernetics - a technological revolution centered around the computer. No people in the world are scrutinized, measured, counted and interrogated by so many poll takers, social science researchers and government officials as are Americans.

There is too much data. The data is too sensitive and subjective. Access is too easy for too many. The controls are too few and not effective. There is too much inaccuracy and it is too difficult to get corrected.

The information is gathered and disseminated by Banks' credit agencies and other private businesses; by hospitals, doctors and educational institu-

tions; and by governmental agencies, including most specifically the FBI, CIA, NCIC, LEAA, state criminal bureaus, and local police. In the process of interchange controls are lost and accuracy is sacrificed.

Law is traditionally slow to respond to emerging needs, especially as to an emerging technology as complex, frightening and apparently uncontrollable as the computer. Law is not quite up to handling the printed page and the file cabinet.

LEAA has been pressing the states for control plans and computer capacity to develop computerized criminal histories. The information now being collected includes arrest data, offense data, court data and prison data.

Montana's legislative package to support the program failed. North Dakota is exempt because they received no LEAA money for computer or communication systems. They have developed a relatively primitive manual of criminal histories. South Dakota's Attorney General promulgated rules to meet the federal guidelines and is developing career criminal files, plus a statistical analysis center. Colorado passed implementing legislation effective as of January 1, 1978, but doubtful the plan will be implemented by January 1, 1978. Utah has promulgated rules to meet LEAA guidelines by executive order. Utah has a computerized criminal history probably now on line. Wyoming's situation is unknown.

Other information that is being accumulated and poses significant problems includes intelligence information, juvenile information and medical information including both psychiatric and physical.

Montana's legal approach gives an adequate guide to dealing with the problems in a practical fashion. Montana's Constitution provides:

Article II, Sec. 10. Right of Privacy.

The right of individual privacy is essential to the wellbeing of a free society and shall not be infringed without the showing of a compelling state interest.

Article II, Sec. 9.

No person shall be deprived of the right to examine documents . . . of public bodies - except in cases in which the demand of individual privacy clearly exceeds the merits of public disclosure.

Article II, Sec. 28.

Full rights are restored by termination of state supervision for any offense against the state.

The thrust of all the law of privacy is based on the balance between compelling state interest and the right to be let alone.

The right of privacy vis-a-vis any state interest varies according to classification of the people involved. The usual classifications of persons involved would include juvenile-adult, male-female, prisoner and, within the term prisoner, could be sub-classifications of dangerous-non-dangerous, on parole, on probation, and in community correction facilities. The next step is to identify the information which ranges from official court records, to closed court pre-sentence investigations, to comprehensive social histories, to intelligence information.

The problem is what information should be collected and what information should be released and to whom. First, consider the nature of the information. Second, consider the person requesting the information. Third, consider potential tort liability. Fourth, consider fairness. I urge limited accumulation of sensitive personal material to be stored in perpetuity. The need for such material may seem crucial to the social scientist; the danger of careless dissemination is apparent to the attorney. Be extraordinarily cautious in the release of such material. Err on the side of refusal and you will more likely avoid adverse legal consequences.

ACCREDITATION AND THE FUTURE OF
COMMUNITY CORRECTIONS

Thomas J. Mangogna

Those who are working in community programs have noted a decided shift in public opinion in the past few years. At one time in the not too distant past our programs were received with benign kindness or indifference. The fact of the matter is we were in the "honeymoon" period of our marriage to local communities. This period has not ended and all of us are engaged in the task of making the marriage work.

In the past few years we have come under much closer scrutiny by our local communities. We can blame increased negative media coverage, a philosophical and political "swing to the right", a simplistic public attitude toward the problems of crime and diseases such as alcoholism and drug abuse. We can offer any reason we wish, real or imagined, for the termination of our honeymoon. The simple fact of the matter, in my view, is that the public is demanding accountability in all areas of endeavor, public and private.

Just a few years ago a severe recession and double digit inflation hit us simultaneously. We suffered the trauma of seeing millions of citizens without a job who wanted a job. We saw prices skyrocket for all forms of energy which are used for basic necessities such as oil, coal, natural gas and electricity. We saw food costs soar and new housing priced at such an all time high that most middle class American's felt the American dream of owning their own home was melting before their eyes.

The majority of our citizens became painfully aware of what it meant to "cut back" on their standard of living. We know that our resources - human, material and fiscal - are not limitless. We know we are unable to provide everything to everyone. We know that from any economic standpoint we still have some rough times ahead.

In this climate every facet of our society and how well it functions is being questioned; government, Federal, State and local; business, particularly big business; organized labor, educational systems; medical and health care systems, particularly hospitals; and our social service systems, just to name a few. One of the basic questions being asked is whether what we are producing and consuming is really worth what we are paying for it.

Cherished ideas of just a few years ago have lost their once high esteem. The fever to insure the Civil Rights of all of our citizens; the once vocal

concern over water, air, noise and other types of pollution; ecology and environmental issues in general seem to have given way to our concern for economic survival.

In this atmosphere our citizens wish to know that they are getting a fair return for what they give in dollars and they want proof. There is a very perceptible trend toward quality vs. quantity.

At this point in time there should be no surprise that simple assertions as to how good our programs are, that they are helping people, that they are helping to alleviate the problem and the like are no longer good enough. We may well have good programs, but someone more disinterested in the results than we had better be ready to say so and have the data to back them up.

Given the current climate, what is the future of community corrections? In my personal opinion this depends on several variables, not the least of which is economic.

At the present time we are experiencing a trend toward more punitive measures. Cry's for more and longer prison sentences have become consistently louder and there is evidence that our courts are listening.

There are demands for a more restrictive use of probation, the abolition of parole, mandatory sentencing and an increasing hostility toward community residential centers of all types.

The net effect is to place enormous pressures on institutions which were not designed for and cannot accommodate the number of individuals being committed to them by our judicial systems and not being released from them by our parole systems.

To insure the Constitutional rights of those who are incarcerated, our courts, particularly Federal Courts, have intervened in several situations and have found many institutions to be in violation of those rights.

As the overcrowded conditions of our jails and prisons become more critical the contradiction between demands for more and longer sentences with the refusal to support necessary costs for the construction and operation of new institutions which will not be considered cruel and inhumane will become evident.

In my view this will necessitate a reassessment of our policies which will result in a decrease in massive incarceration.

To give a graphic illustration of the capital and operating outlay of case required were we to continue on our present course, take a careful look at the following quote from a Congressional Budget Office Report dated January, 1977.

The report speaks only to the needs of the U. S. Bureau of Prisons and not to State and local units of government which collectively, incarcerate the majority of our offenders.

" The choices for prison construction over the next ten years can be illustrated by describing four different capital investment strategies, including current Bureau of Prisons policy. The first three options deal primarily with variations in the quality and type of confinement (size of institution, amount of living space and privacy, and location of confinement) based on the same population projection of 33,900 by fiscal year 1987. The fourth option reflects a significant expansion in prison population due to greater use of imprisonment.

Option 1: To provide for projected population growth only with no improvement in existing prison conditions. There is no ten year investment cost under this option; the estimated increase in annual operating costs would be \$57 million. This option would provide no new prison beds and 1,350 additional half-way house beds.

Option 2: To provide for projected population growth and continue the current Bureau of Prisons policy of improving the quality of confinement. The ten year investment cost would be \$285 million; the annual operating costs would be \$38 million. This option would provide 6,750 new prison beds and 1,350 additional half-way house beds.

Option 3: To reduce the emphasis on conventional imprisonment by stressing community-based programs (half-way houses). The ten year investment cost would be \$70 million; additional annual operating costs would be \$14 million. This option would provide 1,700 new prison beds and 4,300 additional half-way house beds.

Option 4: To increase the emphasis on the use of conventional imprisonment - requiring a significant expansion of prison capacity. The ten year investment cost would be \$510 million; additional annual operating costs would be \$186 million. This option would provide 12,050 new prison beds and 1,350 additional half-way house beds." 1

With the above information I would contend that the sheer weight of the system will begin to contribute to its breakdown unless steps are taken to reverse current trends. Part of the reversal process will require that community residential centers continue to grow as an integral part of our justice and social service delivery systems. Although it may not seem so now I am convinced that the future of community residential centers is a bright one and that in a few short years we will see another spurt of growth in their establishment.

In light of what has been said above it has become unmistakably evident that some device for measuring quality as well as quantity of services is needed.

1. Congressional Budget Office Report, Federal Prison Construction: Alternative Approaches, January, 1977, Summary pp. xi, xii

For many years efforts to establish measurable standards of practice have been underway in several areas of human service including education.

As we know there are various standard setting and accrediting bodies in the field of education. We are also familiar with the efforts of the medical profession to set standards for and to accredit hospitals.

In more recent years attention has been given to setting standards for community drug and alcohol programs by the Joint Commission on Accreditation of Hospitals (J.C.A.H.). In addition, sheltered workshops and rehabilitation facilities have had standards set and are being accredited by the Commission on Accreditation for Rehabilitation Facilities (C.A.R.F.).

In the field of corrections the need for a set of universally accepted standards has been felt for some time. In 1946, the American Correctional Association developed a document called the "Manual of Correctional Standards". The last time the document was revised was in 1956. The document was a yeoman's effort to begin the process of standard setting in the field.

In 1968, the American Correctional Association secured a grant from the Ford Foundation to develop a method of self-evaluation and accreditation. Standards without an objective process for applying them, i.e., accreditation may end up being as useless as no standards at all.

The Ford Foundation project was completed in 1970 with a document entitled "An Accreditation Plan for Corrections". However, it was realized that A.C.A.'s Manual of Correctional Standards would need complete reworking and updating to implement accreditation.

Just what is Accreditation? As defined in Webster's dictionary, Accreditation is a voucher of an acceptable relationship or status with regard to a standard or set of standards. Approval by some authority is implied.

The National Commission on Accrediting has defined accreditation as "a method of protecting the public by identifying qualified institutions and helping to raise and maintain institutional standards". 2 Accreditation complements, but differs from licensure or certification whereby states and some professions identify individuals who are competent to perform professional duties.

Accreditation assumes the existence of objective and quantifiable or measurable standards. Standards themselves are considered to be the minimally acceptable levels of practice in any given field.

2. "An Accreditation Plan for Corrections", A.C.A., 1970, p.4

In 1974, with the assistance of L.E.A.A. and several private foundations and corporations, the Commission on Accreditation for Corrections was established.

The Commission is a private not-for-profit corporation which is composed of twenty Commissioners who are nominated and elected by the membership of A.C.A. All Commissioners, with the exception of the Citizen representative and the Education/Research representative, must be full time practitioners in corrections.

The Commission is responsible for:

1. The development and execution of policies and procedures in accrediting both adult and juvenile programs.
2. Developing and executing procedures whereby correctional standards can be used in a program of accreditation for corrections.
3. Developing and approving, along with the American Correctional Association, standards for application to all areas of corrections.

To insure a broad base of input, no standard may become a standard without the consent of both the Commission and A.C.A. However, it is important to note that in all matters relating to accreditation the Commission is autonomous and its decisions are non-reviewable by A.C.A.

How are standards developed? At the outset it was important to note that the process is a dynamic one and that standards undergo continual review. As new knowledge and practice emerge from the field, standards will be revised or new standards developed.

Any individual or group may have a standard or group of standards considered for adoption by submitting them either to the Commission or to A.C.A.

At the present time the Commission has over one hundred fifty (150) source documents which have been used to develop the standards which have been promulgated thus far. Currently, the Commission has promulgated standards in the following areas:

1. Adult Parole Authorities
2. Adult Community Residential Services
3. Adult Probation and Parole Field Services
4. Adult Correctional Institutions

By the end of December, 1977, the Commission will have promulgated Standards for Adult Detention Facilities and by the end of January, 1978, Standards for Juvenile Community Residential Services.

The timetable for completion of all other segments of the standards is December, 1978. Remaining manuals of standards will address the following:

1. Youth Probation and Parole Field Services
2. Youth Detention Centers
3. Youth Training Schools
4. Standards for Correctional Systems

In all, ten separate manuals will be promulgated covering all adult and juvenile correctional areas.

Standards are developed in a systematic fashion. A review of the process of their development is in order.

A team of highly qualified consultants are selected by the Commission to develop standards in a specific correctional area; e.g., Jails. The consultants collect and review all source documents which are relevant to that area as well as any proposed standards which may have been submitted by individuals or groups.

An initial draft of the standards is then developed which is then reviewed by Commission staff for conciseness, clarity and measurability. Once this initial process is completed the draft is submitted to a Committee of the Commission. The Committee is composed of from three to five members of the Commission.

The Committee will review each standard and will make any additions, deletions or changes it believes necessary. The standards are then returned to the consultants and staff for further refinement. When the second draft is completed it is again sent to the Committee where the process just described is satisfied with the end product. Once the Committee is satisfied the standards are then submitted to the full Commission which repeats the process engaged in by the Committee.

Once the full Commission is satisfied with the end product the standards are then sent to the A.C.A. Committee on Standards and Accreditation where the same type of review occurs. The A.C.A. Committee has the authority to approve standards in the name of the Association's governing body. It is composed of twenty correctional practitioners who are appointed to the Committee by the President of A.C.A.

After consensus is arrived at by the Commission and A.C.A.'s Committee the standards are then promulgated.

The process described above is very thorough and painstaking, but very necessary to arrive at a set of reasonable, well thought out standards.

As you are aware anyone can promulgate standards. Without a system of standard implementation, however, many such efforts end up collecting dust on a shelf.

The system of implementation in this instance is accreditation. While we described what accreditation was earlier you should know something of the process as to how an agency or institution becomes accredited.

Once an Agency or institution applies for Accreditation and meets the entrance criteria it enters the first of three phases in the Accreditation process. The three phases are known as:

1. Correspondant Status
2. Candidate Status
3. Accreditation Status

Each of these phases has a network of tasks which must be successfully completed before moving on to the next phase. Let's take a brief look at the requirements of each phase.

Correspondant Status

The Agency has applied for Accreditation and has paid one-third of the fee required to cover Accreditation costs. The Commission sends the agency a self-evaluation kit consisting of the Standards applicable to the Agency and the Commission's "Agency Manual of Accreditation Policy and Procedure".

Agency staff are oriented to the self-evaluation and accreditation process. The self-evaluation report is completed and sent to Commission staff. If the self-evaluation report is accepted and the Agency meets minimum levels of standard compliance the Agency enters Candidate Status. Minimum levels of standard compliance for a three year accreditation are 90% Essential, 80% Important, and 70% Desirable. For a five year accreditation the levels of compliance are 100% Essential, 90% Important and 80% Desirable.

Candidate Status

After entry into Candidate Status the Agency prepares for the Visiting Consultant Audit. The Visiting Consultant takes the completed self-evaluation report and document that the Agency does indeed comply with the standards with which it states it complies.

In order to be judged in compliance with the standard the Agency must be in total compliance, not just partial, and must be able to present written proof or documentation of same.

Once the Visiting Consultant has completed the audit a preliminary report is prepared within 15 days and sent to the Commission staff. The final Visiting Consultant report is submitted within 50 days of completion of the audit.

Commission staff forward final copies of the Visiting Consultant report to members of the Board of Commissioners at least 30 days prior to the Commission meeting at which the Agency's Accreditation status is to be determined.

Accreditation Status

The Visiting Consultant is present when the Board of Commissioners review the consultants report. The Agency may send a representative at it's own expense to the Commission meeting.

Based on the level of Agency compliance, the Board of Commissioners awards or denies accreditation for the appropriate period of time. If Accreditation is denied the Board of Commissioners may refer the Agency back to Candidate status.

The above is a broad overview of the Accreditation process. What it accomplishes is assurance that a given agency or institution is implying with nationally recognized minimum standards in all facets of it's operation. In effect, it assures the public of the quality of the agency's operations. It assures them that through sound administration, fiscal and programmatic practices that they are receiving value return for value given.

The process assists the agency in correcting those deficiencies which may be preventing it from achieving it's goals. It also provides an objective measurement of agency needs.

Standards and Accreditation provide a forearm for corrections professionals to pool their best knowledge and expertise to raise the level of agency operations throughout the nation.

It promises to be the most significant development that corrections has seen in decades. It holds the promise of withstanding the scrutiny of our citizens and assuring them of the efficient and effective operation of their public and private institutions and agencies.

HOUSE HUSTLING

Gary Hill

The practices involved in the selling of the community residential treatment center to the community are the same as those involved in selling any produce. This training Institute is going to provide a great deal of technical and practical information. All of that knowledge will help you do a creditable job in establishing and operating community residential treatment centers which can withstand the toughest of tests and the closest of scrutiny. However, like all products -- no matter how well built or how comfortably priced, it doesn't mean a thing if no one buys it.

Before we get into the hows, let us establish a basic ground rule. I contend that it makes no difference if I'm selling a salad maker, automobile, or community treatment -- the techniques are the same. With community residential treatment centers, I think you have a few more things going for you. The community may question the quality of your produce or there may be some fear of the "the undesirables" you're bringing into the area, but generally, your credibility as an individual and what you stand for is accepted

At the same time you are trying to sell the public, you must also warn them of the dangers, so once they are sold, they don't come back with an accusation that they were sold a lie. People basically want your product. Don't go getting defensive, think logically and positively. Consider historical precedent.

In 1820, a special Massachusetts commission recommended the establishment of residential community treatment facilities. ⁽¹²⁾ In 1870, at the National Congress on Penitentiary and Reformatory Discipline, strong recommendation was made for:

...a probationary stage, into which are admitted only such as are judged to be reformed, and where the object is to test their moral soundness -- the reality of their reformation. The prisoner must be tried before he can be trusted. It is the want of a guaranty of his reformation that builds a wall of granite between the discharged convict and honest bread. This trial stage is an essential part of the reformatory prison system, since it furnishes to society the only guaranty it can have for the trustworthiness of the liberated prisoner; and such guaranty is the sole condition on which the various avenues of honest toil will be freely open to his entrance (52:549)

Going back even further, the Walnut Street Jail, built in Philadelphia in 1770, as well as other local jails found throughout the Colonies, did not substantially depart from the family model.

Eighteenth Century jails, in fact, closely resembled the household in structure and routine. They lacked a distinct architecture and special procedures ... True to the household model, the keeper and his family resided in the jail, occupying one of its rooms; the prisoners lived several together in the others, with little to differentiate the keeper's quarters from their own. They wore no special clothing or uniforms and usually neither cuffs nor chains restrained their movements. They walked --not marched--about the jail. The workhouse model was so irrelevant that nowhere were they required to perform the slightest labor (49:53)

As a matter of fact, David Rothman, in his excellent book The Discovery of the Asylum, points out that:

Jail arrangements so closely replicated the household that some colonists feared that prisons would be comfortable enough to attract inmates... This is why towns frequently required prisoners to provide their own food and "to use such bedding, linen and other necessities as they think fit, without their being purloined, detained, or they paying (the jailer) for the same." So long as they did not cost the town money, inmates could make living arrangements as pleasant and as homelike as they wished. A few communities carried this logic to its end and simply dispensed with a jail, allowing those awaiting trial to post security and stay at home... they saw no difference between the household and the prison. (49: 53)

Every major task force on corrections, from Colonial time to the present, has supported the position of utilization of community treatment centers as a preferred alternative to the "lock'em up" syndrome. The 1967 Task Force on Corrections, the President's Commission of Law Enforcement and the Administration of Justice, speaking specifically about community treatment centers states that:

...they offer a set of alternatives between regular probation supervision and incarceration, providing more guidance than probation services commonly offer with the various disruptive effects of total confinement ... Evaluation has indicated that they are usually at least as effective in reducing recidivism and, in some cases, significantly more so... These programs are reviewed here as examples of approaches that are capable of, and deserve widespread application in a variety of modifications. (146: 38)

More recently, and probably better known to most of you, is the current report of the National Advisory Commission on Criminal Justice Standards and Goals. Their Commission Task Force Report on Corrections states, " If asked, a clear majority of the community would probably support halfway houses for those offenders who are not a serious threat but still require some residential control. (47: 31)

Philosophically everybody loves the idea of a halfway house or community based corrections. There's just one minor problem --they don't want it next door to them. Remember that part of your job is basic salesmanship. The United States is the greatest example in the world of a nation that has build its economy on selling people what they don't want and oftentimes what they don't need. Why should you be different? At least you have a product that is needed. You can get a general consensus about the need for your product and services. All you have to do is play salesman.

Every single day the American people give away (donate) more than \$68 million dollars. Six and a half million dollars go directly to agencies such as yours and \$3.5 million, each and every day, seven days a week, is given away by the American people to help public and civic affairs efforts.

For those of you who aren't interested in the financial end of things, in my town of 150,000 people, in early September of this year, on a Tuesday (which isn't even a particularly active day) a quick glance at the Want Ads of our newspaper gave me the following resources just waiting for my clients or, if need be, my fellow staff members.

Twenty-five jobs for professionals or administrators
(salary ranging up to \$19,000);
Fifty-seven jobs ranging from cooks to restaurant managers;
Twenty offers for full-time domestic help
Twenty-six positions in hospitals or nursing homes;
Sixty office/clerical positions at a top salary of \$20,000;
Thirty-four requests for salesmen from automobiles to real estate
(with training and help in getting a license offered);
Forty-nine technical and managerial trainee positions;
Sixty-eight screaming ads for part-time help.

In other words, with a little advance salesmanship, 340 organizations which advertised for employees might just as easily have saved the money and called me first to see if I had any qualified individuals around. Not counting the local Volunteer Bureau, the university volunteers, or any of the city, county, or state agencies, there are 162 free services at my beck and call. They range from legal aid to psychological services; transportation; housing, child care; clothing; people who furnish friends; and, those who love to bat heads with legislators.

As in just about everything else you handle, attention to details is the key ingredient in determining success or failure. You might start by identifying all of the organizations and individuals within the area who can have an impact on your program. Such general groups include businessmen; clergymen, business organizations, local legislators, county board members

and city officials who might live in the area, local school administrators, civic groups, the National Organization of Women, League of Women Voters, Junior League, labor union leadership, the news media (don't forget those local neighborhood newspapers), sheriff, police officials (especially any of the beat cops,) judges, probation agents, representatives of the Division of Vocational Rehabilitation, representatives of state departments of corrections; Jaycees, Rotary, Kiwanis, Lions Club. And, depending upon your area, some of the radical or ethnic groups: Green Berets, Black Panthers, La Raza, communes, B'nai B'rith and people representing welfare interest. In other words, anybody and everybody. The lists are easy to get. Visit with the local Chamber of Commerce to see if they have one. See if there is a Community Resource Directory or a listing of civic organizations. Visit a local church and get a listing of all of the groups they might know about. Read the newspaper for a couple of days and identify a spokesman or two for the underdog. Visit with teachers; attend a PTA meeting and see who speaks out. Pay particular attention to anybody in the student or adult population in the area who sounds offbeat and kind of far out. Get next to them to find out the names of other individuals or groups who might give you a clue to some of the more eloquent and respected liberals or conservatives.

Make lists of everybody and every organization you've been able to identify and give them a ranking. From actual knowledge of gut-level feelings, determine which must cooperate in order for your program to succeed. Also, find out what steps you might take to neutralize their opposition should it arise. Go through your ranking to determine the relevant, even if not the essentials, participants and supporters of the program. When you get lists of people, don't forget the people who might be clients of your program. If your people are coming from jails or institutions, go into those institutions and jails and find out who lives, or has family in the area you're interested in. Find out anything you can about the particular area. Find out: if they are big on block parties, if there is a particular ethnic interest, if there are particular hangouts, and if there are any general likes or dislikes characteristic of the area.

In order to list everything, start early and do a thorough job. Not only will it be useful to you in selling your program, but the resources you come up with which can be utilized later in helping your client and allowing you to be a good neighbor pay big bonus dividends. After you have everything listed, then decide on the means you wish to use to influence the community leadership and non-leadership on the benefits of your program and to gain their support.

Various processes that you use are absolutely key. You may wish, for example, to collect a small group of interested citizens to become a part of the planning group. This is the group which can help plan your method of attack. They are people you will have identified in some of your initial homework as being friendly. The group can include persons in the criminal justice system, or more importantly, interested, respected lay people. A second method might be the forming of an Advisory Council of the more influential persons in the community. Be sure that the people you pick for "show and tell" have enough knowledge to do the job adequately. This is a group which can also be utilized to establish potential financial contributors or liaison with those who can provide direct services. As another technique use your board of directors. If you go this route, remember that they would be concerned with hiring personnel and setting policy. If you give them the job you must also give them the authority and make sure they understand their own accountability.

Persons to be contacted, by the way, should not hear of the program from other sources first. In your initial approaches, both while gathering facts and gaining a few allies, I would suggest you avoid all publicity. It may, however, be wise to invite a trusted news reporter or two from the local or neighborhood newspaper or other media to join you as an observer and/or participant, but do so, if possible, with the understanding that the proceedings at this stage are strictly off the record. You might tell your media contact at this stage that it is strictly exploratory and you want to keep things fluid so the people you talk to do not have any pre-conceived notions. Be sure they understand that when you prepare to launch into the implementation stage, they will get all of the information. During this stage, you don't have to do all the work yourself. You might use one of the groups like the League of Women Voters or Association of University Women, etc., to do the studying for you. Other board members or interested individuals may also have useful talents --useful, however, only if you use them.

There are, of course, many other techniques. You can hold a luncheon to find out those who have a genuine interest; you might bring in a couple of potential clients to give generalized talks on the utilization of community treatment and then judge audience reaction. Then, too, you can utilize specific groups within the particular area to form a public awareness committee or do some very generalized public education. Toastmaster organizations; Junior leagues; Jaycees, are particularly good for these endeavors. All you need to do is feed them the background information. The Chamber of Commerce currently

has some fine slide presentations and booklets for general community education. This is the type of education which can go on in advance of coming out with your "guess who's coming to dinner" routine".

A couple of quick reminders. First, we use the basic premise of attention to details; therefore, with all of your meetings, contacts, and everything else, make careful notes of your sessions; be sure to send letters to everybody---and I mean everybody---who attends, even if it has to be a mimeographed letter to 350 people who showed up at the church social. Whenever possible, follow-up with phone calls and set up your files from the very beginning so you and everybody else you'll be working with can find things immediately when they are needed. Second, and probably most important, make sure that your product is well developed and worthy of selling to the community. Make sure, also, that every sales pitch, formal or informal, is extremely honest and backed with the highest degree of personal integrity.

You will utilize different pitches for different types of products and different audiences. Though the guarantees may vary with what it is you are trying to sell, make sure that you can back up your guarantees--or don't make them. Also, don't underplay any of the bonuses which might accrue as a result of what you are selling. You are able to help establish a "sense of community" through a cooperative venture. If your clients are able to provide some services to those they will be living next to, then count those as bonuses and play them to the hilt.

This now brings us into the use of and access to the community resources themselves. By the time you finish developing your initial lists; by the time you've gone to the various groups and worked through your committees and done whatever it is you've decided to do to sell the program to the neighborhood, you will probably have the finest resource list for that particular neighborhood, area or community of anyone in town. Be sure to go over and cross index all of your notes, not only from a power position or an influence position, but also in terms of who provides what services.

It is very important for you to identify the criteria established by those you might utilize for the eligibility of people referred to them, whether they are your clients or others. For instance, if there is a lawyer or doctor who lives within a couple of blocks and who wouldn't mind providing a little service in an emergency, what's his/her definition of a "little service?" With regular human service agencies, what is their current work load?

How many more can you add to their workload without helping them acquire additional resources? What's the current workload of a group like the League of Women Voters? What are their priorities? Though they can be a great ally in everything from your local zoning fights to changing legislation, if they are currently into a program which is taking up all their time, don't hit them with another one right away. Save it until they can handle it.

Since you have all the information written down and the names, addresses, and phone numbers of various organizations, you might put together a catalog and let it be known to people in the neighborhood, as well as the various agencies, that you'd be happy to help them with referrals. At the initial stages, don't be protective of the sources of information or potential help for fear that somebody else might use them and they won't be available for you. The more you share, the more you'll get. If you can become the informal hub, supplying the information to everybody within the area, they will be much more likely to want to see your efforts continue and they will be much more willing to reciprocate by providing help.

Now you're ready to dig into securing neighborhood or area consent and support. I don't have to tell you that timing is extremely important. After you have done your homework and after you have made a number of informal contacts, and after you have provided for some general education of the public at large, and after you have set a schedule for yourself, then you can determine when the neighborhood is ready to be approached for a systematic campaign. After some of your informational approaches, you may utilize specific target audiences to present your program to and wait for reactions. After you have had a chance to get and analyze the reactions, then you can go back in and explain it again -- this time in the proper terms.

Before you start, be sure you know where you stand legally. Zoning laws, building codes, health and sanitary laws, fire codes --all of them--can easily be researched very quietly in advance by friendly legal professionals, building contractors, various city departments or religious organizations which have had to meet similar standards. Not only is it impressive to have done your homework and emphasized in all your public presentations your concern for safety and health standards and neighborhood beauty and property values, but it also prevents you from looking like an absolute idiot when at the final public hearing the only one in town who is against you points out you violate some ordinance.

As soon as you get going, there are some absolutely essential things which you should be aware of. Put local people, like neighbors, on your board of directors, advisory councils, or public awareness committee. Remember how many of us like to work up a sweat and get our hands dirty, as opposed to just giving money to somebody else's charity. Ask neighbors for help in the form of manual labor. Let local construction companies supply some materials for repairs (maybe it will even be at no cost). Make a neighborhood project of remodeling and redecorating.

A housewarming party is another absolutely magnificent method for getting the neighbors in--nothing pretentious and not for all those good friends and supporters from clear across town or local aid society, but for the neighbors and local merchants, those you are really going to be living and dealing with. Then there are those thousand little things you do just for the sake of neighborliness. If you end up with lawn mowers and tools and extra cans of paint and nails, make sure all your neighbors know about it so that if they need to borrow something, they can. But, make sure they return it and make sure, too, that they know you might borrow from them at some future time.

The best way to secure neighborhood consent and support, and to maintain it, even when you have a crisis, isn't by throwing together a series of contrived projects; it's merely a matter of old-fashioned neighborliness. If your clientele is made up of people who at one time or another have been on the skids, they'll jump in with both feet when given a chance to help little old ladies, kiddies or neighbors. By doing all of the things that fairy tales talk about, they'll totally outdo anything normal do-gooders can think of in showing how people are supposed to live as good neighbors.

Once you get initial support, there are a thousand and one other things you can do. Some of the obvious I haven't even mentioned--such as keeping your facility and grounds both attractive and well-cared for. Or, if you want a really good one to help gain community confidence and support, get together with the local sheriff and sponsor the Neighborhood Watch Program, a burglary prevention activity which includes training neighbors to look out for each other and protect their valuables. Or, get material and spread the Lock It and Pocket the Key campaign to reduce auto theft. There are many other crime prevention activities which don't take any special expertise to support--merely someone with the desire to head the effort. If you do support any of those types of activities, or lead them, don't advertise them as "classes by

experts"--do it as normal neighbors wishing to protect their own property and teach others how to do the same.

You might invest \$150 to \$200 in an old theatre-style popcorn machine. Not only is it good, cheap munching for your residents and their visitors, but if you also get a refrigerator dolly you can transport it to local churches, outdoor neighborhood parties, or other neighborhood events such as socials or bazaars. You will be amazed how much good will you can establish by loaning your talents and your equipment rather than just throwing your voice.

A final area that is worthy of consideration is the informal establishment of a consulting, cooperative, or funding relationship with the public and private criminal justice agencies and agents within your area. These include such groups as the State Planning Agency, State and/or Regional Crime Commission, State, Regional and/or County Probation and Parole Agency, sheriff's department, police organizations, judges, State Department of Corrections, Commissioners of Corrections, and all the other groups. When I talk about establishing a relationship, even a financial one, I'm not necessarily talking about your using these agencies--rather, I'm emphasizing their using you. Between yourself and your residents, you can provide valuable input to them without even asking for something in return.

The court has a volunteer probation program. Whether or not they let your people serve as probation counselors, they can surely use them in training classes or doing some of their paperwork for them. From a formal consulting standpoint, it's conceivable that various other agencies or even business enterprises may wish to hire some of your talents, whether it is your staff's management ability, your client's insight, or all your strong bodies. The possibilities exist. That arrangement of hire services, by the way, works the other way, too. Wherever possible, deal locally. The amount of respectability you build up by providing your talents and services free to other agencies has a way of coming back to you when you need legislative support or when one of your clients is caught with his hands in the local "cookie jar".

City, county and state employees always feel they are underpaid and overworked. So, if you've got law enforcement officers who cover your beat, street repairment, gas company personnel, or firemen working within the neighborhood, make sure they know that they always welcome to drop in for a cup of coffee and that you'd love to have them break bread with you. Make

sure they know it is not a "freebie" and they are expected to pay their fair share of the meal--no more and no less. You will be amazed at the sphere of influence firemen, policemen, garbage collectors or gas men can generate if they think you are getting a raw deal over something.

I want to make sure I don't leave you with the impression that we are talking about a series of tricks or devious activities. I reiterate that your product must be solid and backed with integrity; but the art of selling, to be a success, is a combination of many diverse activities.

First, it is to give up, deliver or exchange a produce for money or its equivalent. It's not begging--it's exchanging. No sale or business transaction is so sweet as one in which all parties walk away feeling they came out ahead on the deal. Second, you must offer your product for sale regularly and conveniently. Maybe if you build a better mousetrap, the whole world will beat a path to your door--but probably not. Today you have to market it, distribute it, and keep advertising it all the time.

Public relations, is only one phase in selling your program to the community. The things you do every day, from the delivery of service to your clients, to the integrity and ethical code under which you operate, to the promises you make, to the lies you don't tell, are part of your selling job. Plan your strategy, develop your individual activities, pay strict attention to details, and, above all, take heart in the fact that with more than 200,000 civic, social, and fraternal organizations in the United States, surely there is one willing to jump onto your bandwagon.

SELLING COMMUNITY RESIDENTIAL TREATMENT

CENTERS TO BUREAUCRACIES

Representative Parker Evatt

The Alston Wilkes Society has been selling itself to communities and agencies in South Carolina for more than 13 years. I would not recommend that all private agencies follow our example, but our experience may prove useful in structuring other programs. We have always maintained a strong Board of Directors, and at present boast of 6,000 members throughout our state - individuals, groups, civic clubs, businesses, and churches. Through our volunteers, avenues have opened to other agencies. It has been a real selling job, but when our name is mentioned, people know the programs we sponsor instead of giving us a puzzled look.

The Society has never tried to duplicate services provided by other agencies in the community. Because of this approach we have been able to staff serves on many advisory committees in both the public and private sectors. This has enabled us to have an impact on policy and also gain professional respect.

How to Approach the System

Approaching the community with a halfway house program depends on the situation - whether the agency is already established or if it is new. If the agency is new then it must be sold along with the halfway house concept, while an established agency only has to sell the new program.

The first question to be considered is who is going to sell the agency and program: The director of the agency (and the director of the program if different from the director of the agency), and several prominent members of the Board of Directors are preferred. Too many persons "telling the story" can result in conflicting presentations. When many persons are involved it is hard to keep from saying different things, and this tends to confuse the community. It is most important to use Board Members who are recognized as community influentials, preferable important business leaders.

An excellent way to gain the respect of other private agencies is through the United Way. This has proven to be invaluable. Never miss the opportunity to speak (group, radio, television, etc.) because you never know who will be listening. When speaking always challenge the group to get involved in your work.

When speaking before a group (governmental, civic, church, etc.) you will probably be asked about cost. Costs are always an important feature in selling a program to businessmen. Do not speak too much about crime reduction or recidivism. Explain rather why the program works and what long term benefits will be available to the community.

Church groups do not need a cost justification because you appeal to salvaging human lives through effective programs, but most businessmen have to have a cost analysis to move them. How does it save them tax dollars? You might not be able to prove your point, but be prepared to answer the question.

Alternatives to Incarceration

It is important for the judiciary to be aware of the halfway house program. The most important reason is that halfway houses provide an alternative to incarceration. Many times a person would be placed on probation and left in the community if only there were some kind of structured live-in program. The community residence model fits this need perfectly.

One effective approach is to address the judges at the professional meetings or at training sessions on the subject of sentencing alternatives. Meeting informally with local judges and informing them of your program is also effective. One caution to follow is not to give the judge such a selling job that you are flooded with clients.

We have a Circuit Judge serving on our Board of Directors. This has proven to be most helpful in getting him to interpret our programs, especially our halfway house program, to other judges in the state. There must be a close relationship and understanding for diversion programs to work.

You should develop a short and long range plan to publicize the agency and program. It is impossible to make appointments and meet everyone that should know about the program right away. Rather, at first schedule meetings with governing bodies and agency heads that relate directly with the program. A more broad based appeal can be made later.

The community based program must be supported by the criminal justice agencies in the state and community. Prison system directors and probation and parole directors receive requests each week from individuals or groups who have programs. Not all of these requests come from effective, legitimate programs. A director will listen to a group that has responsible businessmen from the community, because he knows they would not be involved if they did not believe in the program.

It is most important that you receive a commitment from the prison director. When you receive the commitment, you should explain that it is most important that his agency knows that he supports your program. You might suggest that a directive be sent to his staff in support of the program. When you start dealing with the staff, it is much easier to get doors open when their "boss" has endorsed your program.

After the initial contacts, other staff members can get involved in the selling process. You need to make sure personnel at all levels of responsibility understand the program. When making contacts with counselors, supervisors and other line personnel, always open the conversation with how your agency can help them. This will get you off on the right track because most of the time the only requests they receive are for help.

One of the best ways to get to know employees of other agencies is to join associations in the community and state. Attending luncheons, meetings and conferences will allow you the opportunity to relate to other professionals. When joining an organization it is also most helpful for identity to seek leadership positions in the organization. Remember everyone knows the chairman. Always volunteer for committee assignments.

In our state the Probation and Parole Department is one agency. A perfect illustration of how the Alston Wilkes Society has done a selling job on probation and parole is that we were asked to have a staff person attend each parole hearing so that if the Board had someone who was coming up from the state or county system who needed a place to live, we were there to accept him. On different occasions we brought the Parole Board to the halfway house for a luncheon to let them see what the parolees were doing and meet the staff. That is part of the public relations program of a facility or agency. I would suggest that you bring the Parole Board to your facility for lunch. You should do this with all agencies. We bring the line personnel of all the social agencies in the community in for meetings and luncheons also. We know that we need their resources so we bring them and say "thanks" for what they are doing, and introduce them with a luncheon and tour of the house. When you send a client over to them next time, they know exactly who you are and where you are from. You cannot say thank you enough. Everybody likes a pat on the back, and enough pats on the back can really help you, especially if you can show them a first-class operation.

In dealing with probation and parole you might have good cooperation with most of them, fair with some, poor with the others. When you are talking with the Director of Probation and Parole, you should tell him that his department is supporting your agency. Tell him first of all that you think his department is doing well in terms of support, and you appreciate what they are doing, and ask how together you might interpret your programs to all personnel in the field.

Each year at our annual meeting, we present a plaque to the Probation Officer of the Year. This has enabled us to secure a close relationship with the entire Department. When we organized 21 County Chapters across the state, probation officers were most helpful. We also award a plaque to the Correctional Officer of the Year. This is a small thank you to the line personnel. They do not usually receive any type of recognition, and these awards serve to foster good relationships.

De-Institutionalization

States are looking for ways to reduce their prison populations. We mentioned the diversion of offenders, but community residences are also making a real impact on the other end - the release date of the incarcerated offender. Most prison systems are using pre-release programs and are contracting with private agencies to provide this program.

You have to establish a good working relationship with the prison system. You have to sell your program to the director of the prison system. You will most likely not work the details out with the director, but he will make the referral to the person in his department that deals directly with your program. If a program is going well, you want to make sure he knows about it. Do not wait until something goes wrong before contacting the director. If a problem develops, do not wait for it to appear on his desk from somewhere else. Take the problem to him directly and explain it. Use the rapport you have developed to explain and resolve the problem. If you have been doing well and he knows you are doing well, then when a problem develops, he will be more likely to seek a solution. If you are not getting the cooperation you need, go to the director and explain that. Ask again if he really believes in the value of your program; explain that his staff apparently does not because you are not getting the referrals. Do try, however, to avoid confrontations. They are less likely if you have developed support and rapport with the director.

In some instances you might develop a real problem with the local police officials. They often think that with all the "criminals" in one building - your facility, if a crime be committed they know where to look. Make an appointment to see the chief law enforcement officer in your city and county. Sometimes it might be dual position, and other times it might be one person. Talk to the sheriff, and the chief of police and tell them exactly what your program is. Tell them that you want to be regarded as a business or a home in that community. Before you leave your meeting, re-assure them that if you have a resident who is breaking the law, the police are going to be notified.

One tactic to follow is to invite law enforcement people to luncheons or gathering at a halfway house. It gives the police an opportunity to see exactly how much of the community is involved, and what kind of support and confidence the community has in the program. This kind of interaction will go a long way toward building good relations with local law enforcement officials.

Law enforcement officers can be made to recognize the worth of the program. If nothing else they know that the resident is off the streets and in a program with rules and regulations. Don't limit yourself to the chief; get to know watch commanders and the officers assigned to your area.

Everyone appreciates a compliment. When a law enforcement officer does a good deed or receives a special award, write a letter to indicate your appreciation for the job well done.

Delivery of Services

No halfway house can employ enough staff to deal with all of the problems of each client. You must also sell the social service bureaucracy on your program, because those resources are vital to the quality of the program you can deliver. This should be done on two levels. First, sell the director of the social agency. The best way to do this is to have the director of your agency meet with the service agency director so they are on a name-to-name basis. The second level deals with line personnel. You need contact between social workers or counselors and staff in similar positions in your agency, because these are the persons that deal directly with the client. Competition for available resources is great. But if you have a client who needs a particular service and you have established good relationships with the line personnel and the head of the service agency, your client has a better chance of receiving assistance. Many service agencies will have clients that need a place to live - that is where a comprehensive group home or halfway house can provide a needed service in return.

It is a two-way street. Dealing with a person that you know personally in an agency usually gets better and quicker results than if you were strangers.

One of the most discouraging things when dealing with agencies (public or private) is when they do not deliver the services to your client. One of the best ways to develop positive results is to keep any agency that makes a referral to you informed of the progress of their client. If you do this regularly you can expect the same type treatment for your client.

It is hard to conceive of any community residence not seeking assistance from other helping agencies in the community. I would suggest you obtain a handbook of social agencies in your community. If a book is not available you should develop your own. It should list the name (s) of key persons in each agency. Some agencies you will need to deal with the top person while with others it could be a counselor.

The Director of your agency plays an important part in keeping good relationships with social agencies. He should always look for opportunities to tell directors of other agencies how much you appreciate the cooperation and support their agency provides.

The Client

We have talked about the different bureaucracies and agencies and the need to develop regular, friendly and professional relationships of mutual support. What about the future residents who are in jail or prison? How do you go about informing and selling them? You must interpret the program to them also. You must be able to convince your potential clients that you are sincere. This will only come with time. Word gets back behind the walls quickly if your program is a fake. You have got to sell your program, prove it, and then continue to do it over and over again.

One approach that works is to get permission from the warden to bring a respected former offender back to tell the inmates what a good program you have. Our agency actually introduces our halfway house program to all new inmates, as well as those about to leave the system. In addition, we provide many services to the inmate and his/her family. By being involved from the entry point to the point of parole and release we are able to establish our reputation early with the inmate.

Funding Sources

How can an agency sell a funding source? LEAA is an ideal situation. If is great to sell the committee, but it is a lot easier to have one of your staff,

one of your volunteers, or a board member on both local and state committees. You should attempt to sell your program to these units as well as crime commissions and related organizations.

You can either be funded locally or on a state level with LEAA. In many places you can apply for regional funds. There are two selling jobs you have to do here. First, you have to sell the staff of that planning district that this is a service that is needed. They have to believe in the program. It should appear in their overall needs and plan projections. Get a copy of the public safety committee (sometimes called the law enforcement committee) names, and then check with your staff and your board members to determine who of these people they may know. Then determine to whom you have to sell the program. When an application comes in for consideration, if nobody knows the agency, and they have only so much money to spend, the agency to be funded is the one they know. It is a must that you are known. Have LEAA staff people visit your operation so that they can be your salesmen next time, not you.

The really key person in LEAA planning and evaluation which precedes funding, is the corrections planner on the staff. When you have this person on your side, and you have a deserving project, your chances of being funded are outstanding. Both regions and state have to submit statewide plans each year which include priorities. Community residences should be included as a priority, although you can still be funded even if not listed as a priority. When you are funded, keep this person fully advised of the status of the program. Let this person know the bad with the good - in plain language be honest.

How do you substantiate the need for your program? How do you document results? There are two key questions that you must answer clearly and concisely in order to first receive funds and then to be re-funded. Ask first where in the state a halfway house should be. Information as to the number of people on probation and parole in a particular town or area is available. You need to start accumulating information like this from the very beginning. In order to start a program, you have to substantiate and document the need for the program in a particular area. Most people in the helping professions are not sensitive to record-keeping and writing things down, but if you are really going to survive in the long run, you must document everything you do. You will then be able to explain things to funding sources and other service agencies.

The first thing funding agencies want to know is how many people have lived in your facility for the past year, what is your success rate, what does it cost per person, per day, how does this compare to keeping a person incarcerated? You have to know these facts. If you do not have this raw data available then you will have to say to these people that you have a good idea, but you do not know if it really works.

Unite Way is another excellent funding source. If your agency (you must be private) has not been funded before, you have to go through a planning period after you apply for funds. Staff and volunteers from United Way will also be involved in planning. You will have to sell both. Do not pad the budget. They will provide an excellent evaluation of your program, and I truthfully think you will benefit.

If you are approved after the planning period, you will appear before a budget panel made up of volunteers. This is where an outstanding Board of Directors can be most helpful. Let your Board members present the budget and program: let them depend on you for back-up information. Many times an over-zealous Director of a program will strike out before a budget panel because he is too demanding. Volunteers can say the same thing, but they will be heard differently.

If you are funded, it will open the doors to other social agencies immediately because you are now one of them. One advantage of United Way support over LEAA is that it is long term support while LEAA is short term.

Politics

Many times politics will play an important role in the initiation and survival of a program. Most elected officials do not know much about corrections or probation and parole. It is not that they are not concerned about it, but they have never been involved. This requires a constant education process. We sent newsletters to them and have furnished them with books and materials. Take local officials on tours, not only to your halfway house, but to the jail and to a prison camp. Let them see what it is like and let them know that a half-way house is an alternative. Perhaps you need several most halfway houses, rather than enlarging the jail or prison. The only way you are going to convince the funding sources or people in politics is to sell. I have never seen a program funded at a local or state level that had not been sold.

One of the best ways to gain political support is to ask an elected official to serve on your Board of Directors. I know of many private agencies that have benefited by having an elected official serve on their Board. Another way is to ask the spouse of an elected official to serve on the Board.

Volunteerism

A lot of people look at you when you talk about volunteers and express concern about "do-gooders" messing up the operation. Our program has always sought volunteers to make our programs better. Many of our programs would not be good nor would they have survived without volunteer participation. Volunteer participation increases the total community awareness of your program as no other kind of positive publicity can do. There may not be a better place to involve volunteers than in a community residence. Once you get them involved, a volunteer can contribute to the improvement of your physical plant and to the program. You must have a staff who believes in volunteers.

A long range benefit occurs even after the volunteer stops coming to the house. If they had a positive experience, then they are going to continue to sell your program. Volunteers represent all types of people in the community and they will tell their friends and associates about your program.

One-to-one volunteers have more impact on the life of our residents than any program we sponsor. It is hard to explain how much a relationship like this can mean without giving you a personal experience. Three volunteers began working with a 20 year old parolee when he arrived at our Columbia facility in January, 1968. Through their efforts he graduated with a degree in accounting 4 1/2 years later. He is now happily married, and employed as an accountant with Blue Cross-Blue Shield. He credits the volunteers with salvaging his life.

Never undersell your agency and program. Always consider it a fine program, and be proud to sell it to everyone you meet. Be professional in your approach to the community, and they will regard you as a profession. Never think small.

Remember to say thanks to agencies that provide services to your clients. Everyone needs a pat on the back, and the cooperation that follows will be unbelievable. Remember that you too are a part of the delivery system of social services.

When you make changes in your program or agency let everyone in the community know. Agencies will appreciate being informed. When your agency is open and shares information with other agencies you will find that they will reciprocate.

No one person or agency can solve all the problems of your clients. It has to be a community effort. Don't make your facility a mini-prison, make sure it is a community residence.

" Lebensraum and the Socially Handicapped"

Norman F. Chamberlain

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LEBENSRAUM AND THE SOCIALLY HANDICAPPED

I. The Philosophical Background: Lebensraum, Liberty and Life

The Territorial Imperative: It has long been a fundamental assumption of biology that all living things exist not only in time, but also in space, and that while chronos is infinite, cosmos is finite. We are made aware of the immense dangers of the population explosion and its inherent implications for survival. All life forms are limited by living space, or lebensraum, as the Germans have so aptly termed it. It merely means room to live, the "space required as by a community, institution, organism, individual for life, growth, or activity."¹

Daniel Boone and his fellow frontiersmen called it "elbow room." The comic W. C. Field's sage comment, "Everybody got to be somewhere" was more than a tautological taunt. Adolf Hitler launched the world into madness and darkness, questing for lebensraum as a conquistadore quests for El Dorado. In the balance sheet of existence, living space is the bottom line of survival for self and species. Sufficient space to survive and thrive has been termed the territorial imperative, and it is viewed by biologists as the major motivator of creatures and life forms great and small.

In a previous paper, it was observed that for those who operate community residential programs, "Perhaps the most obvious point of contact with the public stems from the fact that residential programs are conducted in facilities which are a physical reality that cannot be hid or denied in the communities where they are located...Education must be done not only with the general public, but with the Bureaucracy and public officials as well. The most difficult and ultimately decisive decisions that spell life and death to residential program survival are most typically settled on this turf."²

This paper is an attempt to elaborate on the issue of the imperative of establishing adequate facilities in a suitable location if residential programs are to continue to exist and ultimately achieve their full potential in the social service system.

Stigmatization and Territoriality: In his classic work, *Stigma*, Erving Goffman³ makes the following points: Stigmatization refers to an individual or groups attribute that is to deeply discrediting; a stigma is really a special kind of a relationship between attribute and stereotype; the stigmatized share the dual distinction as being viewed as discredited and discreditable;

a stigma is usually undesired differentness; a person with a stigma is believed to be not quite human; society tends to impute a wide range of imperfections on the basis of the original one; the stigmatized individual tends to hold the same beliefs about identity that others do; a stigmatized person may use his condition to escape competition, to avoid responsibility, to have an excuse for failure, to exploit it for secondary gain; the stigmatized tend to shun daily intercourse with normals, and tend to become suspicious, depressed, hostile, anxious and bewildered; feel insecure about what others think of them; may approach mixed contacts with hostile bravado or cowering deference; the stigmatized seek a corporate life based upon a type of group formation or a type of group function; that there are voluntary residential clubs and mutual claims networks which are used as support systems by various groups composed of the stigmatized; and that such support systems sometimes develop into full fledged residential communities.

These citations indicate that the stigmatized have not only a need to identify a place of their own, but by inference, they have a right to such a place by right of existence. Goffman observes that almost anyone or everyone can be stigmatized by one quality or characteristic or another, depending upon the social context the individual is inhabiting. The old, young, rich, poor, fat, thin, beautiful, ugly, intelligent, retarded, sick, deformed, and disabled have all been stigmatized one time or another by one society or another. Race, religion, ethnic origin, language, and regional identity have also occasioned stigmatization. It would seem apparent that a society that values is a society which stigmatizes and discriminates.

Since almost all human groups or classification categories have at one time or another been stigmatized and discriminated against, the point becomes to what extent is stigmatization justified? Who should be stigmatized and why and to what degree? Who should be the agent of social sanction and what should be the degree of such power? If any majority may stigmatize and discriminate against any minority, we are, indeed, in dire straits.

Since it is within the American tradition to integrate as well as segregate, to include as well as exclude, and to extend to all citizens certain inalienable rights, it would seem appropriate that whenever any agency or agency presumes to establish standards and sanctions at the expense of any individual or group of individuals, they must be held accountable for such presumptions and required to give full justification in terms of human and constitutional rights for

denying or abridging any person, stigmatized or not, of his or her rights. That such abrogations and abridgments of human rights is an almost daily occurrence should give no credence that there should be any less accountability. It is the basic premise of this paper that the socially handicapped and stigmatized citizens of Seattle are regularly and officially deprived of their right to living space individually and collectively and that, because of this, the issue of the relationship between stigmatization and territoriality is a critical philosophic and social concern.

The Sociology of Deviance: It is difficult to make a clear distinction between stigmatization and deviancy. Deviancy implies a departure from a standard or the norm, while stigmatization implies being discredited or discreditable. To the extent that the act of deviating from a standard or norm, consciously or unconsciously, deliberately or undeliberately, results in discreditation, to that same extent does deviancy, the cause, result in a stigmatization, the effect. This point is made not to demonstrate this cause and effect relationship, but rather to establish how easy it is to confuse the two concepts and conditions. In its most non-pathological form deviancy can be simply equated with being different. It need not involve anything illegal, immoral, or even improper. The result, stigmatization and discrimination are no less real and abusive.

It may be argued that to the extent that individuals choose to deviate from society's duly established norms and standards of being and behavior, to the same extent they may be justly held to be accountable. There is little to be argued in the case of gross deviations which endanger or harm other individuals or compromise the common good beyond reason. However, when we substitute "different" for "deviant", we can immediately see a critical matter of degree. Individuals do have a right to be different. Society does not have the legitimate right to punish or discriminate against a person or class of persons merely on the basis of harmless human characteristics or peculiarities.

Yet the City Council, Seattle, which has passed an anti-discrimination ordinance to protect citizens against discrimination on the basis of age, sex, race, handicap, sexual preference and marital status, through its zoning ordinances, has effectively discriminated against any human being who, by virtue of his or her choice or circumstances, voluntarily or involuntarily, may need to live in a halfway house or community residential center. By prohibiting the establishment of a residential center of any size in any zoning category without securing a conditional use permit, the City has effectively said to the socially handicapped - You are different; ergo, you are deviant;

ergo, you are stigmatized; ergo, you are rightfully subject to restrictions and restraints not imposed upon other citizens under similar circumstances.

The case in point is the block of property located between Spruce and Alder, and Eleventh and Twelfth Avenues. Pioneer Cooperative Affiliation began purchasing parcels in this block in 1963 with the express intention of someday building new residential structures for the socially handicapped on the property. From 1963 until 1976, PCA could have built any type of residential structure on this property without securing any conditional use permit or zoning variance.

However, in 1976, the City Council adopted an ordinance which mandated that halfway house facilities could not be established anywhere in the City without a conditional use permit, and placed many restrictions as to size and proximity upon such units.

In 1977, PCA finally had the resources to proceed with its long established plan to build two twelve-unit apartment houses on the subject property which has always been zoned RM (multiple residential). This category allows outright use of the property for apartment house construction within the other provisions of the building code. Because, however, the people who were to live in these apartments were socially handicapped and would be participating in a treatment program, the apartment houses, which conformed in every detail and respect, were deemed to be halfway houses and PCA was directed to seek a conditional use permit.

If the property were developed to its full legal capacity, it could support more than 300 persons without requiring such special approval. However, when PCA applied for a permit which would allow a total of 140 residents, less than one half of the otherwise legal limit, the City's Department of Community Development chose to take a position against the project on the grounds that, 1) it violated the residential character of the neighborhood; 2) it would create an undesirable concentration of identified socially handicapped persons, in this case, state work release prisoners, in a single location. Representatives of the Department of Community Development then proceeded to organize opposition in the neighborhood against the project in clear violation of its obligation to maintain an impartial role in such matters.

These facts are presented to illustrate the dynamics of the sociology of deviance. Once identified as deviant, a group is properly categorized and consigned to the status of social pariah with official sancimony and bureaucratic righteousness.

The Institutional Dilemma: Incarceration vs. Decarceration. Around 1800, with the advent of the Industrial Revolution, America evolved a new method of dealing with the deviant, dependent and less than desirable, the institution. Social reformers decrying the evils of the cities in particular and society in general, despaired of ever reforming any of its weird or wayward citizens while they remained at large in the corrupt community milieu. The solution offered was to establish institutions where individuals could be referred, usually against their will, and where they would be forced to participate in a regimented program that would hopefully help them to change prior to re-entering society. Thus, the American tradition of incarceration was born out of a sincere sense of social reform and its doleful legacy was passed on to succeeding generations, and its expanding impact has had a rippling effect felt around the world.

The problem with incarceration or institutionalization was that it was seized as a simplistic solution to society's people problems and it was applied much like a potent nostrum as a cure-all to social ills. Not only were convicted felons subject to this method, but drunkards, the insane, the poor, the aged, delinquent youth, orphans and finally, dependent children. The rationale seemed to be that a little bit of incarceration never hurt anyone, and it might do some good.⁴ Today the cycle has come full circle and we are hearing a great deal of talk about decarceration. The exact opposite is now postulated. Our institutions are often viewed as colossal failures and are blamed for not curing the problem.⁵ We are told that it is impossible to prepare a person for life in the real world of the community in an institutional environment. Thus, we see how the social fads and fashions that are heralded as the "Paradise Found" of one generation, become the "Paradise Lost" of another.

Ecology and Environment: We are now living in an era of great concern with pollution and polluters, and an even greater concern with protecting life and the ecosystem in all of its myriad forms. To illustrate, the federal government has been enjoined from making a 167 million dollar dam on the Tennessee River operational because it might endanger a subspecies of 3" minnow that inhabits only a single sixteen mile section of the river.

This zealous concern for life and living space for one of the little creatures of creation may be laudable. However, how can we abide such measures to protect the least, and ignore a similar subspecies of our own kind, the socially handicapped, and deny them a suitable habitat and lebensraum, because their habits differ from our own. This incongruity would smack of hypocrisy if it did not emanate from sincerity and unconscious failure to prioritize items of human concern.

It is interesting to note that we now require an environmental impact statement on any new construction in Seattle. The PCA project was given a classification of "non-significant" impact in terms of the proposed structures' influence on the environment. Once again, the close relationship between living space and the territorial imperative becomes evident. In a society that is so effete as to anguish over the nuances of visual, auditory and olfactory pollution, it would be boorish not to expect opposition to a humanized program to assist those who do not blend in with the social decor of the neighborhood.

Constitutional Concerns and Legal Issues: It may be argued that the U. S. Constitution provides that it is the function of government "to insure domestic tranquility" and "promote the general welfare"⁶ and that this permits the state (in this case, city) to enact ordinances that regulate and control land use and contribute to better land use planning. Government of a certainty has both the power and responsibility to act in these matters. However, the Constitution also provides that no person may "be deprived of life, liberty or property without due process of law; nor shall private property be taken for public use without just compensation."⁷ The Constitution prohibits cruel and unusual punishment. It is the contention of PCA and its counsel, that enacting or ordinance that patently discriminates against one class of persons (in this case, a work release program for convicts becomes a special case because they may be denied civil rights but not human rights) may be considered as unconstitutional. Since the City is on record as favoring fair housing and non-discrimination, it may indeed be vulnerable to a class action suit in behalf of the socially handicapped and agencies which operate halfway houses and other residential resources.

In recent years there has been increasing activity to identify and define the rights of the confined. More than one thousand federal cases have been cataloged and classified and there is a strong basis in constitutional law to question discrimination against those who are confined. " The judicial system is beginning to recognize many basic rights of persons confined in correctional

facilities...Administrators involved in these areas are beginning to realize that they can no longer be arbitrary or capricious with their decisions... The burden has shifted from the affected person's having to establish why the practice should not be continued, to the administrator's having to justify why a particular practice should be followed.⁸ It is possible that the City might be enjoined from continuing its present course.

In prusuit of what it believes to be its own personal rights, and in protection of what it perceives to be the rights of its clients, PCA is launched upon a course that may well take this issue to the highest court in the land.

II. The Process: Legensraum and The Circadian Cycle

The PCA predicament is not unique to this agency, nor is the question of zoning and popular acceptance of halfway houses peculiar to Seattle. The same problem persists all over America. Objections to all programs for the socially handicapped are generally similar to those raised against offenders, namely: 1) Depreciation of property values; 2) increased danger to person and property; 3) increased noise and disturbance ; 4) violation of property boundaries.⁹

Because of widespread community resistance to such programs, administrators have sometimes adopted a rather cynical approach, sometimes called the "circadian cycle", which infers a twenty-four hour period of daylight and darkness. The daylight or "high moon" approach holds that it is best to go into a community openly and directly. Seek official and public acceptance. Let people know what you are up to and gain their confidence. Then they will support you. This is indeed the noble and preferred approach. However, when confronted with rejection or resistance, some operators have resorted to subterfuge and secrecy, and have utilized the "thief-in-the-night" approach, whereby they silently set up the program and present the community with a fait accompli in order to gain the living space they believe rightfully, though not necessarily legally, is theirs.

Land Use Planning: If the quality of life in these United States is to be protected and preserved, we must by all means have high quality land use planning. The problem is, who are the planners? Far too often they are young people fresh out of college with little maturity or practical experience, or more seasoned persons with predetermined ends. In either case, a fair and equitable plan is difficult to develop and often impossible to implement.

We agree with W. C. Fields that "everybody's got to be somewhere." If land use planners would make honest provision and intelligent inclusion of programs for the handicapped in their comprehensive plans, and if zoning com-

missioners, city councils and building departments would honor these plans by doing those things which enable their implementation, most of the problem would be solved. Sadly, this enlightened state of affairs is seldom encountered. "Community-based treatment generally was not anticipated by planners or by those persons charged with the drafting and administration of zoning ordinances."

" The law of zoning uses the traditional family unit as its modular. From the simplest protection of the single-family home to the most complex density coefficient ratio, all residential zoning assumes one traditional mom-and-pop family in each dwelling unit. Where the system is challenged, whether by a haggard of hippies, a piety of priests, or an exemplar of ex-addicts, the system proves unacceptable."¹¹

When all is said and done, when all of the knee-jerk reaction is over, and the smoke of accusation and acrimony has cleared away, the final note of professional opinion is almost always the same. These programs are needed because they make a difference. After concluding the most extensive and exhaustive study ever made on this topic, the American Society of Planning Officials concluded: " Close coordination between the local planning department and the local and state agencies charged with regulating these facilities can result in the creation of systems of health care, correctional rehabilitation, and drug and alcoholic treatment that serve both their participants and the total community. Without adequate zoning regulations, the family and group care facilities so essential to the system cannot be provided."¹²

Now let us review the process step by step that must be followed in Seattle if one is to legally open a new halfway house program or relocate an existing community residential center.

The Building Department: No new construction or major alternation can be attempted without first securing a building permit. In making a determination as to whether or not to issue a building permit, the Building Department routine looks at not only the type of structure proposed, which must conform to the local building code, but also the use for which it is intended. The question of permissible use is grounded in the definitions, regulations and restrictions of the local zoning code. The entire city is divided into various zoning and land use categories, usually based on a master land use plan. Most zoning categories specify the outright uses that are allowed under that classi-

fication. When a case is clear cut, the use is granted outright and the Building Department issues the building permit. When there is a question or doubt about use, or when the use is not specified, the applicant must petition for a conditional use permit. The first official to hear such a petition is the Hearing Examiner, but several other governmental agencies are also involved.

The City Planning Commission and the City Council Planning Committee:

Land use policy and practice are basically determined by two bodies. One, the Planning Committee of the City Council is composed of elected public officials who act in behalf of the City Council. The Planning Commission is composed of appointed citizens who act in behalf of the public in terms of broad public policy development relating to land use issues. These two bodies play the key roles in land use planning and policy development. Several other units are also involved in appeals and other planning functions. The Board of Adjustment, another citizens group, hears all appeals of a Hearing Examiner's findings and makes its own determination. This finding in turn may be appealed to the City Council for further determination. The City Council's decision may in turn be appealed up through the various court levels, ultimately to the U. S. Supreme Court. The process obviously is very complex and cumbersome, and can be drawn out to nearly interminable lengths and at exorbitant expense. The Department of Community Development and its Environmental Management Division study issues and make recommendations to the City Council and Planning Commission and provide staff support services to both groups who may act independently or in concert with each other.

Because the apparatus is so ponderous, many persons who are motivated to help those in need simply "bootleg" an operation and avoid the entire formal process. If no one complains and the Building Department does not discover the violation, all may go unnoticed. However, such a program will always exist under the shadow of illegality. "The legality of adult community residences is uncertain, when they are established in violation of local zoning laws".¹³

We have noted the process of application and appeal beginning with the Building Department, the Hearing Examiner acting in behalf of the Board of Adjustment and the City Council. Now let us look at the level of appeal beyond policy and practice, the judicial system.

The Courts: In the past ten years, the courts on every level up to and including the U. S. Supreme Court have issued decisions regarding land use, zoning ordinances, and related issues. In almost every case persons constituting

a non-traditional living unit that could not meet the standard definition of family argued that the overly restrictive definition of family interfered with their fundamental rights to migrate and settle, to associate with persons they choose, and to privacy. In most cases they have invoked the standard of equal protection. A national review of federal and state cases reveals that the courts do not offer clear guidelines or consistent findings. There is considerable variation among Federal courts, and there is variation among states and within states.

Nonetheless, it seems fair to conclude that "when the court is satisfied that the proposed family or group care facility will not alter the character of a neighborhood - and the facts tend to support this conclusion - it will generally allow the establishment of such a facility."¹⁴

III. The Participants: Lebensraum in Prospect and Practice

Let us review briefly the main characters in this mini drama on human social survival.

The Petitioners: Pioneer Cooperative Affiliation, representing itself as an established enterprise, and serving as an advocate of the more than ten thousand clients it has served, and standing as a symbol and representative of the more than 2000 programs and 100,000 beds currently in operation for the socially handicapped in the United States, contends that it has the right to construct new and enlarged facilities on the property where it has continuously operated for fourteen years, and further, that its clients, as a class, must not be denied their fundamental right to treatment as handicapped persons, nor denied their human or civil rights as citizens or subjects of the U. S. Government. PCA believes it has demonstrated that since twice the number of persons proposed could be legally situated on the same property and in the same building, if the residents were not in a rehabilitation program, and since it has been shown that such programs do not, per se, cause an increase in crime, a decline in property values, nor an adverse effect on the environment or neighborhood,¹⁵¹⁶ they should therefore be granted the necessary conditional use permit and zoning variances.

In a hearing held on September 23, 1977, the Hearing Examiner found in favor of the PCA position. However, he limited the number of new residents to no more than sixty, and recommended that PCA appeal to the City Council for a special ordinance that would legally provide that an exception be made to permit PCA to house 144 clients in its new facilities. Interestingly, thirty-two neighbors around the proposed new facility signed a petition supporting

the PCA proposal. Many agencies and government, business and organizations also supported PCA.

The Plaintiffs: The City Department of Community Development, several neighborhood groups, and a number of individuals opposed the PCA petitions for conditional use permits and zoning variances. Almost without exception, the loyal opposition has had no fault to find with PCA or its programs but rest their case on the question of the character and composition of the neighborhood being adversely affected by the number and concentration of handicapped persons in the area. The plaintiffs have appealed the Examiner's findings and the Board of Adjustment is scheduled to hear the case December 2, 1977.

The Professionals: The members of the bureaucracy and official community are divided in their views of how to handle this issue. Many believe that PCA is justified in its claims and request but fear the proliferation of other and larger programs. Others are strongly opposed to the proposal on principle, believing that the area should be restored and reserved for single family residential purposes. While the Hearing Examiner found in PCA's favor, it is uncertain how the Board of Adjustment will react, since it generally favors citizen groups, and there are large numbers of citizens on both sides of this issue. If PCA is not supported, it will be obliged to appeal directly to the city council as suggested by the Examiner. Both the United States Department of Justice and the Washington State Division of Institutions strongly endorse the PCA program and proposal.

The Politicos and the Power Structure: Now that the elections are over and we have identified the main cost of characters in the power structure, we are prepared to proceed with our drama. The elected public officials have the right and responsibility to represent the public interest in all of its dimensions and aspects. The mayor and city council must play the major roles in determine the public policy. There is little doubt that they will be called upon to attempt to resolve this issue.

IV. The Product: Lebensraum and the Lilliputians

Concluding Comments: In his immortal classic, Gulliver's Travels, Swift identified a new and previously undiscovered ethnic group, the Lilliputians, the "little people." They were found to be fully functioning human beings despite their diminutive stature. PCA was founded on the principle that the little people, those who are needy in our society, deserve a chance to change, that they are entitled to whatever treatment they require, that their rights

and freedoms must not be denied nor denigrated, and they they, too, have the right to life, liberty and lebensraum. Until the City of Seattle makes provision to accommodate them in facilities sufficiently large or sufficiently numerous to accommodate their needs and numbers, the agency feels it must follow the moral and legal imperative to represent the needs of the "little people" and the living space they require.

Summarizing Statement: This paper has attempted to set forth the dynamics and dimensions of a critical social issue that directly relates to education and our philosophy of life, of government and of service. Education and rehabilitation may be viewed as two sides to a single coin. Both involved time, change, human growth and self enhancement. If we may deny rehabilitation programs the space to exist and perform, we may also, using the same logic, resist educational programs as well. As a matter of fact, schools often face a similar community struggle. Fortunately, they are more properly provided for in the zoning code.

Time will tell how this issue will be resolved. Meanwhile, the need and number of those who require social service and personal assistance continue to grow almost exponentially while the wheels of due process slowly grind out their human grist and ponderously ponder the problem.

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LAY SERVICE PROVIDERS

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INTRODUCTION

(Mini Lecture)

Definition

- volunteers
- natural providers

- I. General attitudes towards the use of volunteers (Exercise)
 - a. Small group exercise
 - b. Processing of exercise
- II. Commitment (Lecture)
What executive commitment is necessary before a project beings.
- III. NOAH (Needs Overlap Analysis in the Helping Process)
 - a. Presentation (Lecture)
 - b. Process (Small Group)
- IV. Selling the Concept to:
 - a. Themselves (Mini Lectures)
 - b. Potential volunteers/natural providers
 - c. Management
- V. Wrap-up
Personal commitments

VOLUNTEER

PRESENTATION FOR BILLINGS:

INTRODUCTION: I

Definitions: Volunteers:

A volunteer is defined as a person, who of his own free will, provides goods or services to an agency with no monetary or material compensation.

Types of volunteer services fall into one of three basic categories. The first of these is "regular service volunteer". This term applies to persons engaged in specific service activities on an ongoing basis, usually at scheduled intervals, (i.e. monthly, weekly).

The second category is "occasional services volunteers". These are individuals or groups of citizens who offer to provide a one-time, or occasional service, (i.e. groups sponsoring or providing Christmas parties, benefits, entertainment).

The third category is "material donors." From time to time, individuals or groups of citizens want to share in helping, but are unable to give the time required for volunteer service. They may express their concern by providing funds, materials, jobs or opportunities for clients. Their service is measured in terms of dollar value as opposed to hours.

Each of you, for various reasons, may have good feelings regarding the use of volunteers, some of you may have not such good feelings, yet others may have never considered the use of volunteers. However positive your feelings may be, those thoughts and feelings will not guarantee a good impact on the client.

And this is what the world of volunteers is about - a method through which you develop your capability to provide those services necessary to make the best impact possible on the client you have been charged to work with.

Volunteer services can only be as good as the administration of their sponsoring agency. The first step to "volunteers" is administrative commitment. The people who are willing to give you their time and talent, can do so only if you allow them to do so.

Natural Providers - Who are They?

INTRODUCTION: II

Before getting into specific definitions and interpretations of who and what "natural providers" are, let's take a look at what typically happens at a human service agency and more specifically at one which offers counseling services. A client enters the program or agency through referral or self initiation because he or someone else has determined that his life/and or coping skills are unrealistic. This has caused discomfort for him, for someone else, or both (as is usually the situation in correctional cases). After an assessment by the agency it is determined that the client needs development in the following areas: communications skills, interpersonal skills, intrapersonal skills and living skills. These are often referred to as basic life skills. The client is then taken through the program and is aided by staff in developing these skills to the best of his and the staff's abilities. The question which stands out in my mind and probably in the minds of clients is: If these skills are so basic to healthy productive living, why don't we hear about them until we experience enough pain to seek out help or have help sought out for us?

There are actually two primary means by which one can come into contact with these "basic" skills; becoming a client as mentioned or by becoming a counselor. Sorry, rest of the world, you'll have to fend for yourself. If the answer could be found in written literature there wouldn't be a problem as book stores are saturated by a variety of self-help and self-actualization publications, of which many are best sellers. Literature, however, hasn't done the trick. The "answer" must be found in people working

with people and through learning life skills as a basic part of the socialization process.

How does this massive complaint tie into "natural providers?" Easy; let's look at what natural providers are. They are providers of help in the personal sense and, they are natural because they provide that help in their natural environment, whether that be at home, at work, or on the street. They may be barbers, bartenders, businessmen, beauticians, or anyone for that matter and helping has become natural to them. They have been trained to some basic skills by their own choice to both help themselves and to share in a basic responsibility we all have as human beings to help each other.

Before going further here, it might be wise to make what distinction there is between volunteers and natural providers. This can be best accomplished by simply listing comparative characteristics of each:

Volunteers:

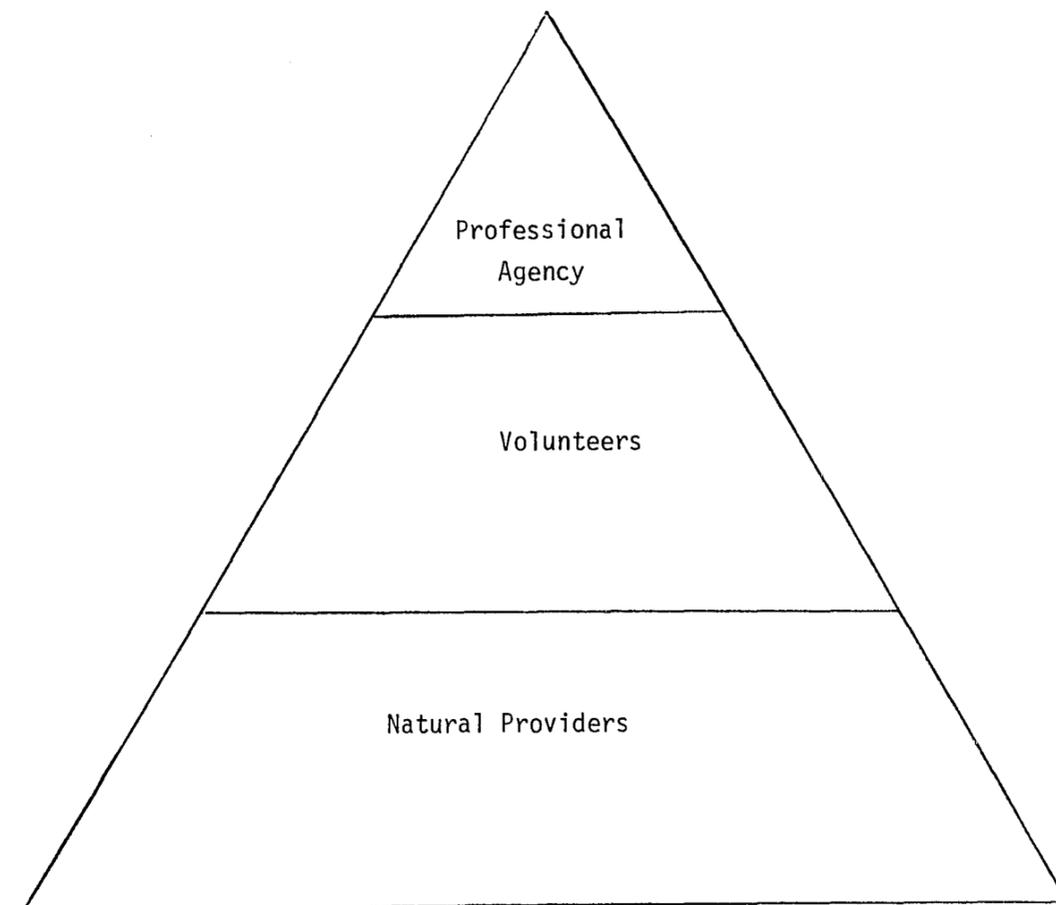
- 1) May be a direct function of an agency
- 2) Are linked to a specific system
- 3) Take time from their natural environment to perform their tasks
- 4) Are trained for a specific purpose
- 5) Operate organizationally as if in a paid agency

Natural Providers:

- 1) Are indirectly related to agencies and function independently
- 2) Have one possible link to a system which is that of referral
- 3) Operate within their natural environment
- 4) Are trained generally to life skills with the exception of specific training
- 5) Do not fit into any typical organizational structure

Though a difference exists, there is a definite relationship between the two groups. The relationship can best be seen by conceptualizing the overall service delivery picture as a pyramid, the broad base being natural providers, then the more specialized volunteers and last, the highly specialized professional agency. Ideally then, an individual in need of help could find assistance for meeting that need at two levels before appearing at an already overburdened agency. A quick look at correctional programs alone will easily substantiate the value of such a system in operation.

PYRAMID OF HUMAN SERVICE DELIVERY



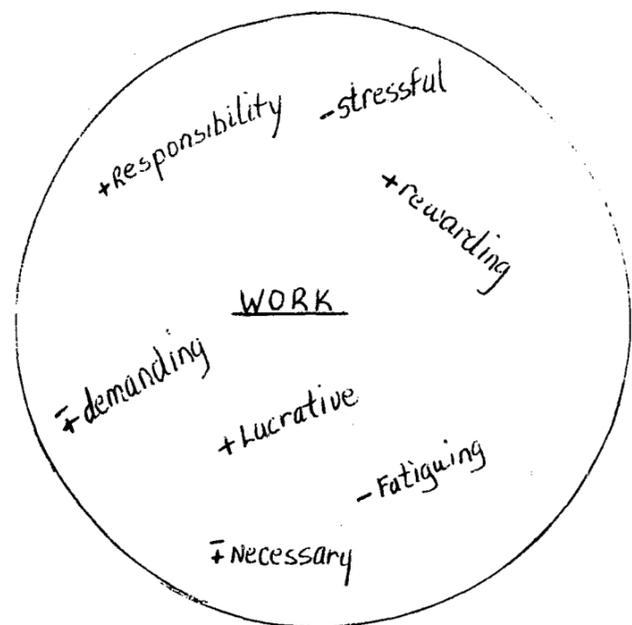
The area or size of each of the three divisions of the pyramid is relative to the other two in terms of actual numbers of persons and level of training. Thus the professional agency in this system has the smallest number of persons with the highest level of training.

influence that decision and/or implement a plan. This, then is the task before us now; to determine what our attitudes toward volunteerism and natural providers are. Determining and expressing attitudes enables us to deal from a more realistic perspective rather than one based on wants and wishes. There are several methods available to help us clarify values and attitudes. One which I prefer to use because of its expediency, accuracy and impact is the "Value Circle" or for our purposes "Attitudes Circle." The procedure for using the attitudes circle is as follows:

- a) A large circle is drawn on a blackboard or piece of newsprint
- b) The item in question, the one you wish to determine attitudes on, is written in the center of the circle.
- c) A brainstorming of thoughts or words brought to mind by the particular item (word association) is done with each of them being written at random in the circle.
- d) After the brainstorming a positive (+) or negative (-) sign is placed by each word or phrase depending upon the connotation. If a work or phrase seems to carry both connotations a neutral (±) sign is placed beside it.
- e) All positive, negative and neutral signs are then tallied individually. The sign with the largest tally indicates the general attitude of the individual or group toward the item in question.

Example:

+ = 3
 - = 2
 ± = 2



At this point in time the training of natural providers has focused on adults in optimal positions to help other adults due to the amount of person contact they have in an average day. Thus occupations such as barbers, beauticians, and physicians, etc. are being keyed on as primary target populations. The future ideal however, is to see all persons trained to basic life skills from infancy on. This is one ideal which I see as not being outside the realistic realm. Should it come to pass, and it can, we all truly will be "natural providers" in the optimal meaning of the phrase.

I. General Attitudes (Ken) (Small Group Exercise)

Despite what the aforementioned definitions of volunteers and natural providers may have done in bringing out the valuable qualities of both groups, the general attitude or feeling which you the reader or listener had upon entering this discussion, is probably still with you. This is due to the fact that our attitudes are shaped by our life experiences. Likewise, the impact of the experience directly correlates to the strength of the attitude or feeling. We know that if we feel strongly opposed to an idea or concept at least one and sometimes several positive experiences are needed to allow us to change that attitude. The reverse is true of positive attitudes. The effect of our attitudes on our behavior, the things we do, can easily be demonstrated by a legislator who must vote "yea" or "nay" on an issue, a judge who must pass sentence or a probation and parole officer who must approve or disapprove a client's plan. The above tasks are not as difficult when we are clear and certain about our attitudes relating to a given subject. A problem exists when, due to lack of adequate experience or knowledge of a given area, we are unsure of what our attitudes are. The difficulty then, lies not only with the individual who needs to make a decision, but also with the party who would like to

Knowledge of our own attitudes or the attitudes of a particular group to which we belong will help us make more realistic and rational decisions. A second factor is that we are often more comfortable with our decisions when we are clear on our values and attitudes and being human we do have a natural desire for a comfortable, rational existence.

II. Commitment

Throughout the remainder of the session, Ken and I will be using a term "lay service provider". We will use this to encompass both volunteers and natural providers.

As I stated before, a lay service provider can only be as good as the administration of the sponsoring agency. To do this commitments must be made by the administrative staff--especially by the administrator personally. Before any program can begin, you must be prepared to make a commitment of time, as well as a commitment of financial support.

I would like to break this commitment into three phases: To demonstrate support for volunteer development, the administrator must:

- A. Make the decision to use volunteers.
- B. Set long-range goals and objectives for volunteer development system involving leadership, paid staff, boards or committees, consumers, and volunteers (if any).
- C. Appoint qualified "director" for focus efforts.
- D. Designate staff time to define roles, prepare training, evaluate plans, meetings.
- E. Communicate your support through staff meetings, memos of authorization, public statements.

Phase two consists of six parts for the actual program operation:

- A. Support of recruitment through public statements, community activities.
- B. Offer explicit encouragement - welcome volunteer trainees.
- C. Monitor progress.
- D. Informal observation.

- E. Encourage staff participation.
- F. Allocate support as needed.

Phase three, Evaluation and Future Planning:

- A. Evaluate actual performance of the volunteer development system against targeted goals and objectives.
- B. Assess overall effect of volunteer on agency's ability to respond to needs.
- C. Assess overall cost/benefit of volunteer development system.
- D. Assess long-range effects of volunteer development system on agency, consumers, community.
- E. Provide for volunteer perspective/input in new program development cycle system.
- F. Recognize the status of "volunteer director" as member of top administrative team and volunteers as an essential component of agency services.

III. NOAH

Noah is one part of a series of exercises developed by the National Information Center on Volunteerism, in Boulder, Colorado, to aid in the identification of, 1) what you need to get done, 2) what the staff expects (wants), and 3) what the volunteer has to offer. When the three are determined you then overlap the needs and talents to determine where you can work together. The best volunteer program for you or for your clients is one that suits your needs as well as benefiting the client.

NOAH simply means NEEDS OVERLAP ANALYSIS, IN THE HELPING PROCESS.

PHASE I --

STAFF AND VOLUNTEER COMMITTEE

SEEK THEIR NEED OVERLAP AREA

STAFF

<u>ACTIVITY LIST</u>
What you've done the last three days

<u>DREAM LIST</u>
What you would like to have done (job related)

THAT:

- A. You never have time to do, or
- B. You don't have the resources to do----- even if you had the time.

NEXT:

*WHAT YOU DO BECAUSE:

- A. No one else will do it -
- B. You feel your experience and training fits you to do better/other things -
- C. You'd rather invest your time in those "other things" to be more productive -

YOUR WORK:

*****		D
What you're doing because	Activity List	Add Dreams

The Object of the exercise is to move your work area from left to right → BUT HOW??????

VOLUNTEER COMMITTEE:

Review Staff *** Items For:

- VALIDITY--There are people in the community who are, or want to do these things.
- CREATIVE--Challenging items for volunteers to do.
- RELEVANT--To the agency towards which this process is directed.

**Items marked strong "Yes", "No", "Maybe" or provisional Yes, No, Maybe

--STAFF/VOLUNTEER DISCUSSION/NEGOTIATION FOLLOWS

END RESULT OF PHASE I:



LISTING OF NEGOTIATED "NEED OVERLAP" AREA.

PHASE II:

Consumer Committee:

--What unmet needs do they have?

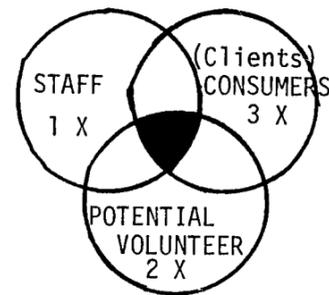
After time for study, indicate staff/volunteer need overlap jobs which:

- 1) Coincide with their own unmet needs -
- 2) Are indifferent to their primary unfulfilled needs -
- 3) Are partly or wholly, in conflict with consumers' primary needs -
- 4) Totally miss some primary unfilled needs of the consumer -

CONSUMERS CAN BE UNREALISTIC TOO--

(You may need more than one consumer committee)

EMERGING PATTERN



- X
- 1) Staff wishes for volunteer jobs that volunteers won't do.
 - 2) Things volunteers want to do which staff won't accept.
 - 3) Consumer needs that neither volunteers nor staff will accept.

The staff and volunteer committee then begin a process to determine how to recruit, screen and train volunteers to fulfill the overlap area. Volunteer job descriptions are developed to aid in the recruitment efforts.

SELLING THE CONCEPT TO YOU

In order for the concept of using natural providers and volunteers to go somewhere from here, you first of all, have to see that is it believable, workable and most of all, beneficial. There are three primary areas of benefit most recognizable:

- 1) Lay service providers benefit themselves by developing worth and bettering their own relationships.
- 2) Consumers have more help available at an earlier stage in problem development.
- 3) The professional service delivery system can expand its scope of services and at the same time lighten the load on agency staff.

In developing systems for rural communities and especially in correctional programs where personal contact is both facilitative and legally necessary, lay service systems may prove to be the answer. One point which is to our advantage is the fact that lay service providers systems have worked and are presently functioning. Systems have also failed and our responsibility there is to find

out what happened and how to change it.

We also face a unique challenge in the central western states of developing viable community correctional programs for rural areas. Manpower needs alone speak out to the need for using lay persons in developing and maintaining those programs. Correctional systems are constantly under attack and charged with inefficiency and ineffectiveness. Before one can disavow a theory or method of dealing with clients he must look at how effectively that particular theory or method is being applied. An example could be that of a probation and parole officer assigned to a rural district. In Montana, rural probation and parole districts are composed of four to five counties with an average radius of seventy-five miles, covered by one P & P officer with a case-load of fifty clients. With all due respect to the officer's skills, sincerity and energy level, adequate personal contact needed to optimally facilitate change simply is unrealistic. We aren't talking about abstract theory at this point and our own statistics show we are talking about fact. Funding situations are also fact and won't allow us the additional staff needed, so, where does the answer lie? It lies in the very communities where the problems exist. Fact is that lay programs have and will work. The initial energy exerted in developing this area will yield a large return which can be measured by client success, cost effectiveness and community support. It all boils down to plan good business.

SELLING THE CONCEPT TO POTENTIAL LAY PROVIDERS

Should you believe in the concept and its potential and decide to implement a program you will need to develop a cadre of lay providers. At this point the sales job is in your hands. Selling to potential lay providers needs to be done for two primary reasons, the first being the need for an adequate cadre to pull from. The second is the need to instill a dedicated and positive attitude toward what they will be doing. The same as it is to you, believeability

is a pre-requisite in selling the concept. People need to know and believe they are valueable to the system and needed by it. A sense of worth is an integral part of our coping systems and thus, helping instill a sense of worth in people can gain valuable allies for you or your program. There are other selling points which can serve to aid the process. One is the offer of training and learning which will be helpful to them in their natural environments. This might include communications, management skills and problem solving skills.

Another selling point which should prove to be attractive for both agency administrators and lay service providers is the concept of certification, especially in the area of volunteers. For administrators it guarantees that volunteers working with their agencies have had a minimum of specialized training. For an administrator who has had negative experiences with lay helpers a system of certification may prove to be a safety mechanism he could accept. For volunteers it is a symbol of accomplishment and can add to self-confidence and assurance. Certification can also through organization, add stability to the volunteer system.

In summary, your own belief in the system's ability to work is a pre-requisite. Once you are there, selling the concept to others is a much easier and productive task. Both parties have an offer to make, the primary point is taking advantage of it.

SURVIVAL OF OUR CRIMINAL JUSTICE SYSTEM

THE LESIGLATIVE IMPACT

Parker Evatt

I am not a prophet of doom, but I foresee a dark and blightfull future for the survival of agencies and programs in our nation's criminal justice system, unless a more meaningful working relationship is established on every level of government with our nations political system. Why is the need so great to establish a good working relationship with the political system? It is because the elected officials in our political system are the decision makers. In order to survive, you need the support of those who are elected to be decision makers. These are the people who decide whether or not your programs will be funded for survival. You need a good relationship with the "Decision Makers", because your agency and its programs need this in order to survive. These elected officials, "Decision Maker", are the "Law Makers", and an uninformed law maker may make for bad Legislation. In South Carolina this year while the Legislature was debating the annual appropriations Bill, an amendment was filed by a house member in the area of juvenile justice within our State. The Amendment filed by this uninformed Legislator should have eliminated an entire state agency by putting it under another agency. Of course, I spoke against the amendment, and it was defeated. Later I ask my colleague why he had introduced such a legislation; he had no logical reason for his actions. After our lunch break we reconvened to resume our discussion with reference to our juvenile justice system. Again my uninformed colleague introduced an amendment which would have taken a major portion of the juvenile agency that would have been expanded by his previous amendment and place it under the same agency he was going to eliminate earlier that morning. His second amendment was also defeated. But the fearful thought is that it happened and the terrifying thought is that it could have passed. You have both good and bad Legislation. Many times the decision makers, the Legislators, in their dealings with issues affecting the criminal justice system not being informed will become a party to bad Legislation. I believe many bad pieces of Legislation are passed entirely out of ignorance, because many times the decision makers, the Legislators, dealing with the different issues, are not familiar with the entire criminal justice system.

In the South Carolina Legislature, we considered another Bill this year relative to the extended work release programs for the South Carolina Department of

Corrections. This Bill would have provided for increased participation in what had proven to be a successful work release program. This Bill was passed in the House of Representatives and was sent to the Senate. In the Senate, an Amendment was tacked on entirely unrelated to the original intent of the Bill. A Senator was trying to do something for his local community without taking into consideration the good the Bill would do for the work of the Department of Corrections in the entire State. A compromise was worked out in the last (2) weeks of the session which kept that Bill from being defeated in the Senate. A good working relationship with the political system is a must if you expect to gain Legislation which will enable you to accomplish goals and objectives your agency has set. Let me cite you an example. Across the nation, zoning laws are becoming more and more restrictive, especially where State agencies are involved in the local community, city or county level. Last year in our State, a zoning Legislation was passed that restricted the South Carolina Department of Corrections and other state agencies in establishing local programs, such as Group Homes, Work Release Centers, Runaway Shelters, and Halfway Houses. Now State agencies must adhere to zoning laws which will make it more difficult to establish community based programs.

You must have a meaningful relationship with the decision makers in order to gain their support when you need Legislation authorizing you to introduce new and to expand old programs. You must have a meaningful relationship with the Legislators because your survival depends upon Legislation and funding. I guess most of you would say funding is the most vital part in your survival as a criminal justice system.

There are at least three (3) categories of funding;

1. Local (city and county)
2. State
3. Federal

(1) On the local level you need to know the decision makers and solicit their support to gain Revenue Sharing which can be used in city and county criminal justice programs such as C.E.T.A. and other community funded projects. You will have to have a good working relationship with the decision makers at this level because many programs are joint projects. It may be private and public, or county and state, both contributing funds in support of the project. This year you should give special attention to joint funding at the local level because Revenue Sharing can be used to match other type of Federal funds. This will enable a lot of counties to match or receive monies that they will not be able to get in any other way.

(2) Funding at the State level is through State appropriations. No State agency head is spared the agony and frequently the scars of defeat that is a result of his encounter with a Budget Committee. I am sure I do not have to impress upon you the important of having a good working relationship with the decision makers of the State level. Especially if you are from a State where your job survival depends upon the re-election of the decision maker. In addition to State appropriations, you have LEAA funding and sub-grants from Vocational Rehabilitation, the Department of Education, and other State agencies. It is important for you to have a good working relationship with your sister agencies.

(3) Now we come to Federal funding, sometimes referred to as Federal Funds. There are several sources of funding at the Federal level. The National Institute of Alcohol and Drug Abuse, Mental Health, and Title XX of the S.S. Act., to name a few. Presently, one of the largest funding sources for the criminal justice system is through the LEAA. It is most important to have a good working relationship with your decision makers at the Federal level.

I remember last year, the agency I represent extended an open house invitation to many friends and dignitaries to celebrate the establishment of a new halfway house. This was during that period when heated debates were clashing about the survival and the continuation of LEAA funding. We invited the local Congressman to participate in the ribbon cutting ceremony and I remember very clearly a statement he made, "You know we have been debating LEAA in the Congress, and, and I am on the Committee studying it. We've been discussing program failures and the waste of money, at least I can go back tomorrow and tell them of one successful program." I can not over emphasize the importance of your having a good relationship with your local, State, and Federal officials from whom you are going to receive Legislative support and funding. You must solicit their support and make them knowledgeable of your needs. To gain their support you must let them know how your programs function and how funds are expended to render a service justifying their existence. You may use various methods and media devices to inform them, but by far the best way to impress them with the importance of your work is to make it possible for them to observe the program in operation personally.

How do you start and where do you start in meeting the decision makers in your State or in your community? How and where you start would depend upon whether or not your program was a Local, State, Public, or Private Program. Let

us start with meeting the decision makers at a State level. When we convene some of the people that we see every day are lobbyists. There are private, local and State lobbyists either for or against almost every issue that comes before the General Assembly, but I don't know of any Alumni Associations lobbying for prisoners or for the criminal justice system. Sometimes you have lobbyists when the issue concerns Law Enforcement, but those representing other segments of the criminal justice system are conspicuously absent as lobbyist selling the Legislators constantly about their programs.

I would certainly urge you to contact your Representative regardless of what community you live in, and convince him or her that your agency does have a service to render and that you can be helpful to him as he legislates to be helpful to others. In our State of South Carolina we have single member Districts and I would suggest that all the representatives from these Districts be contacted. I would also urge you to seek out the key persons on a penology, crime, or pardon, probation and parole committee and schedule a meeting at their convenience to enlighten them with the work of your agency and to request their assistance to accomplish your goals. Let me share some secrets for success with you. When you make an appointment with an official, a "Decision Maker" BE ON TIME: Make sure you properly identify yourself, others with you and the agency you represent. A calling card will be a lingering reminder of your visit. Be sure the card is up to date, correct telephone numbers and address. Be prepared to explain your agency's purpose and its programs. Let him know what results you would like to achieve with his aid and his support. If you can do so without losing his support get a commitment. I urge you not to carry a big thick document. Always leave printed material. Be simple in language and very brief in content. One page if possible, two as a limit. Pictures will not hurt and color will help.

Paper work stacks real high on a Legislator's desk in a weeks time. With a limited amount of reading time, it is a gigantic task for a Legislator to study all the material he receives daily. Your material must be important to him or else it will join other less important printed material in File 13.

Many of the "Decision Makers", the politicians, have made promises, political promises back home. They have said to their electors, " Yes, when I get there I am going to introduce that Bill you want." I recall last year that one such "Politician" introduced (25) twenty five Bills in one day. Not one Bill of the (25) twenty five was ever reported out of the Committee, but that Legislator

sent copies of the Bills back to his constituents and said, "Well, like I promised, I introduced that Bill we were talking about," having no intentions of passing it! Such action on the part of a Legislator could make for bad Legislation. It could be that we are talking about Legislators who previous to their election made promises to you or to your agency saying they are concerned with the criminal justice system and will when they are elected introduce the Bills that you want. If you elect honest and responsible representatives you can stand on their promises, and expect good Legislation.

It is also important that you know and meet your city and county officials. I would suggest the same secrets for success in your scheduled meetings with your city and county representatives as was previously stated.

Many State agencies and many private agencies are governed by appointed Boards. In some cases where there is no appointed governing Board there will be a Citizens' Advisory Committee. However, the case may be I would think it would be wise to have one or more Board members or Advisory Committee members to accompany you when you meet with the officials. It is always appropriate for the Commissioner or Director of the agency to be present. It would be best in making your contact with the official to let the Chairman of your Board of Advisory Committee arrange for the appointment. If your Chairman or Board member is thoroughly familiar with the agency's program and proposal let them be your spokesman.

Let me suggest another way to gain the support of your local city and county officials. If your agency has a program that would benefit by having an Advisory Committee ask your city or county official to serve on your Advisory Committee. If the official cannot serve, get his wife or some one member of his family to serve. In this way you can keep the official informed about your agency and your needs. You should also plan to meet the Administration Personnel in the city and county, as well as the elected officials. As I have stated before, the purpose in getting to know your "Decision Maker" is to gain the support you need in Legislation and funding.

You should also know the various techniques in getting the different types of Legislation you need for your agency. Many times a person does not know where to begin. In most State Legislatures the procedure to introduce Legislation is usually initiated the same way, at least it is nearly the same way in the States I have had the opportunity to visit and discuss this matter with

fellow Legislators. The first step is to get your proposal correctly drafted. You should seek legal input to see that your intent is worded succinctly. Improper drafting can cause unnecessary delay in the introduction of your Bill. If you propose to introduce a Bill having to do with corrections and your State has a Legislative Correctional System Study Committee it would be good to have that Committee endorse the Bill and also introduce it for you in the House and in the Senate.

Good Legislation sometimes fails because the wrong person introduces it. A Legislator who is at odds with his peers will have difficult time getting their supportive attention. The person you select to introduce your Bill should be thoroughly familiar with the intent of the Bill. He must be knowledgeable enough to explain and to defend the Bill. It is most important that you find the right person to introduce your Bill. The first contact you make with the person you select to introduce your Legislation can be made by you as an individual or it can be made as a group. Request an appointment to meet the Legislator in a public place or in a private setting to present your proposal. By public place, I mean inviting him out to lunch away from his Legislative surroundings.

When the Assembly is in session never 'Button Hole' a Legislator on his way to the gentlemen's room and try to pin him down to get him to introduce Legislation for you. Most Legislators are devout public servants, but it is doubtful if you are going to use this technique and cause him to 'wet his pants' that you will gain his support to introduce a Bill for you.

In some instances the Legislation you seek will affect several agencies in the criminal justice system. In this case an appointment should be made so all of those interested in the Bill could meet at one time with the person selected to introduce the Bill to express their desires and to show their support. One or more Legislators can endorse and introduce a Bill, but it will take more than a sponsor and co-sponsors to assure its passage. Here is where you need both Legislative and public support. Through your agency's representatives - the Commissioner, the Director, Board members and Advisory Committee members you will make regular follow up contact seeking Legislative support for your Bill. Public support can be generated through Associations, Churches, Clubs and interested groups. Do not overlook your neighbor. Tell him about the support you need for the Bill you have introduced.

In a State having a State Association of Halfway Houses and Community Based Programs, if there is a Bill introduced dealing with community based programs that Association should be the one to get out and give support to the Bill on a statewide basis.

Another important technique is 'Voter Input'. Usually is a Legislator gets two telephone calls or a couple of letters on any Bill he gets the idea that the people out there know about the Bill and they want it to get passed. There is very little voter input about any Legislation. But when a Legislator does get a call or receive a letter about a certain Bill you can be sure that the other Legislators will hear from him on the floor. He will tell them about his having received several telephone calls and long letters from constituents interested in the passage of this particular Legislation and how he feels obligated to represent the desires of the electors and that this Bill should be passed for the good of the people. Therefore, he will call on his other colleagues who are known for their support of good Legislation to vote 'aye' on this Bill.

There are some who think that getting a Bill passed is a simple process. There is no method of simple approach in the Legislation process. But I do believe that the process can be more simplified by using the right techniques.

When a Bill is introduced in the House of Representatives it usually follows a cycle. After introduction it receives a first reading. Then it is referred to a Corresponding Committee, that is, a Committee assigned to deal with the intent of the proposed Bill. Perhaps, the most important part of getting that Bill passed will be determined by what happens in that Committee. Usually the Bill is assigned to a sub-committee with a Chairman responsible for scheduling the sub-committee meeting. It is the duty of the sponsor of the Bill, the agency seeking the Legislation, or the Association supporting the Bill to either individually or collectively sell the Chairman and the sub-committee on the work of the Bill. A public hearing could be requested to gain support for the Bill. If the sub-committee or committee is reluctant to pass the Bill out of the Committee then I would suggest that you request a public hearing and bring in your support for the Bill.

When a Bill is reported out of the Committee it is returned to the House floor for a second reading. At this time most of the debate concerning the Bill will take place. Amendments can be introduced by other members of the House at this time. Therefore, it is utmost important that the Legislator who intro-

duced the Bill and the floor leader from the Committee reporting it out be present. They are the two key people who can contest any Amendments that would weaken or alter the original intent of the Bill. After the Bill passes in the House it goes through the same process in the Senate and receives a third reading.

When the Bill leaves the House of Representatives the same follow up is needed in the Senate to assure passage of the Bill. The sponsor of the Bill should follow up on its progress in the Senate. He should convince the Senators that it is good Legislation and needs to be passed. The agency should keep in touch with the sponsor while the Bill is in the Senate. The sponsor may want the agency to make some contacts with certain Senators to enlist their support for the Bill. Senators react much the same as Representatives in the House when they receive telephone calls and letters from the voters. A good relationship with your "Decision Makers" in both Houses will be meaningful at this time of your survival.

Another technique in gaining the support of your "Decision Maker's is to recognize them, One way to recognize your political leaders is to publicize their role as good representatives. If your agency publishes a Newsletter, have an article written about your Legislators who have made a worthwhile contribution in the field of criminal justice. They may have contributed to special Legislation, or supported the funding of programs in the criminal justice system. They need to be recognized for the good that they do. They will not forget the fact that you are grateful for their services.

Who do you invite to be your guest speaker at your Annual Meetings, or Dedication Services or other special activities? Here is a splendid technique to involve your "Decision Makers" and to gain their support for your agency's survival.

The private agency I represent in South Carolina has about 6000 members. Each year we have an Annual Meeting. We always send invitation to our Legislators and leaders in the criminal justice field. We also invite others to be our honored guests; people who are leaders in public and private agencies rendering services in the field of human resources. Each year we select from their number one to be our guest speaker. I think it is mutually rewarding to have them come and to inform them about what our agency is doing and to let them see our people performing their services. The invited "Decision Makers" take pride in the fact that they have contributed to and supported this program.

I once went many miles out of my way to attend a meeting because those who invited me thought I was worthy of receiving an award. Now, would you consider that to be a simple technique to gain the presence and support of an individual? Well, it worked on me, and in my State I am, by choice of the people, a "Decision Maker".

I think it is significantly important to recognize and to give credit to those who have made contributions and have given their support to the criminal justice system. An award in the form of a certification or plaque is little compensation and a small investment in gaining good and meaningful relationships with those who are "Decision Makers."

At our agency's Annual Meeting we give two awards, not to political leaders, but to the Correctional Officer and the Probation Officer of the Year. Those who attend hear about the line officers do in these two particular fields. It is very impressive to those who see and hear. They do not soon forget. I have been a State Legislator for only three years. For about eight years before being elected to the State Legislature, and acting as the Executive Director of the agency I represent, I and others from my agency contacted many members of the State General Assembly to explain to them the needs in the field of corrections in our State. In our agency we were involved with the clients who were leaving the penal system, and we saw many areas where they needed not only a 'Helping Hand' support, financial and otherwise, but a support necessitating the change of laws. Many times I felt like we were talking to people without ears. We kept knocking at doors. Sometimes they would open and sometimes they remained closed. In those days I had many negative experiences and I know what it meant to gain support for survival.

But now after my election to State office and as I reflect on my past I have concluded that my past experiences were most positive. Looking back I realize we did not fall entirely, but I know now that if we could have found that certain Legislator and mobilized all of our efforts through that person by giving him all the tools he needed to represent us that we could have made a tremendous impact and advanced our cause for humanity eight years ago.

I know the importance of finding and gaining the support of leaders in the Senate and the House and having a good working relationship with them for survival of the criminal justice system, and to have them as a friend to corrections, to probation and to services for youth. Someone said, " Be a Friend If You Want to Find a Friend." I know the need to have a friend among the "Decision Makers"

for those who are in agencies rendering services affiliated with the criminal justice system. That is the reason I ran for the office I now hold. I was asked to run, to get involved, to be a friend, and a spokesman for the correctional field.

The Alston Wilkes Society was very effective, as a private agency, in helping to establish in our State, a jail and prison inspection. We assisted in getting laws passed for the corrections community pre-release centers and other programs in corrections, probation and parole. When our State had a bad system of juvenile justice we were the only agency that spoke out. Nine years ago a Senator and House member were leaders in an attempt to bring about juvenile reforms. We were the only agency, the only group in the whole State that gave any support. We encouraged them to go forward with what they were doing because we believed it to be right. We were vocal in support of Legislation changes that helped to establish a Department of Youth Services in our State.

Our State has recently passed a Judicial Reform Act. As a Legislator, I have encountered and experienced what it is like to deal piece-meal with bits of Legislation to bring about a Judicial Reform Act. And not I am involved as a Legislator in dealing with pieces of Legislation that are being considered in the various segments of the criminal justice system in our State. It gives me a great feeling of being in my place as a friend to the criminal justice system when a new and old member of the Legislative Assembly approach me and say, "Look, what is your opinion of this particular Bill". I am not displeased that they seek my opinions on these issues and I try to be honest and give them a valid answer. I like to think that in doing so I have gained their support by supplying them with information they need to be intelligent "Decision Makers" on issues so vital to the survival of the criminal justice system. In our Assembly, on the House side, we have an electronic voting system. When we are voting on issues dealing with the criminal justice system there are many uninformed members who trust my judgment and they will vote the way I vote. This may be blind support, but it happens. This trusting in the opinions of others who are knowledgeable in a certain field is a reality and it happens not only in State Government, but it also occurs in Federal Government.

I have been elected as Chairman of the Correctional System Study Committee. I hope this Committee will be very active in seeking needed Legislation in this field. I intend to give my leadership to this end. It was very difficult for me to serve on this Committee for two years and attempt to work with a Chairman who

not seem to have enough concern to even call a Committee meeting. I feel that the Chairman's position is a position of great responsibility and with an informed Committee membership much can be accomplished for corrections through this Committee.

I am privileged to serve on the State LEAA Planning Commission. I also am a member of the Title XX Advisory Committee. This Committee approves funds for Title XX expenditures in the State. I believe we were the first State to apply to HEW for special approval to receive Title XX monies for use in funding the needs in corrections.

The Committee I serve on deals with corrections, mental health, mental retardation, alcoholism and youth services. I am directly concerned with and serve as sub-chairman on the Committee dealing with all Legislation that has to do with the correctional process in our State.

I think it is just as important to contest and try to defeat bad Legislation as it is to support and try to pass good Legislation. I have seen some terrible Legislation introduced affecting the criminal justice system. One such piece required that all persons on probation would have to take a tour through the maximum prison. Can you imagine the cost involved in time, travel and the staff it would take to conduct such tours, not to mention the chaos it causes in the prison. How did such a Bill get introduced? Well, a group of people toured the prison and they thought it would be a good idea. Some mandatory sentences have been passed without any regard to what it would cost the State and what it would do with a prison system that is already overcrowded. Legislation that is introduced to change the eligibility for parole for those receiving life sentences from ten (1) years to 20, 30 years, or life without parole, is in my opinion bad Legislation. I think emotionalism often prompts such legislation. Bad legislation affecting our criminal justice system should be defeated either in the Committee or on the Assembly floor. This is something that you need to be concerned about to the point of taking action to eliminate such proposed legislation. This is where you need to identify the key people in your General Assembly. The key people who can help you when you need the help. In January and June of this year we had a Governor's Policy Conference to talk about what are the real problems and the real issues in our State's criminal justice system. Over 150 people attended the Conference from all agencies of the criminal justice system. There were other agency officials, State legislators, city and county officials, local

public and private citizens who also participated. It was real exciting to see these people gathered together and to hear them talk for the first time about the good and the bad in their differing programs. A hard line Judge said "Look I don't want to send anyone to prison, but I need some alternatives." We are going to have to develop some alternatives, and hopefully we will also develop some initiative as criminal justice system representatives to make contact with our "Decision Makers" to seek their friendship and to gain their support to help introduce legislation and to obtain funding to develop alternatives. We were so enthused with the success of the Governor's Policy Conferences, that we decided we were going to make it an annual affair. Each year we will discuss our progress and check on our weaknesses to the advancement of a better criminal justice system. We are planning to have this conference next year in South Carolina, providing our criminal justice system survives. Your plans in your state depend upon your agency's survival. As representatives of your criminal justice system, you can do something together to give birth to the survival of your state's criminal justice system by introducing and passing legislation, with funds provided.

REVOLUTION IN CORRECTIONS*

Hon. Leo Oxberger+

I. Introduction

A revolution in the prison system has occurred in Polk County, Iowa. Prisoners play sports in regular municipal leagues. They telephone their wives, mothers, friends or anyone else anytime they want to without any monitoring of the call. The prisoners have their own private rooms. There are no guards, no iron cells in this prison.

Plans are nearing completion to develop similar prisons in seven other communities in Iowa. The trend in the rest of the nation is toward this type of prison.

The purpose of this article is to inform the practicing lawyer of the reasons underlying the change and to explain in some detail the mechanics of its operation. Hopefully the lawyer will then be able to make maximum use of the programs for the benefit of his client. The single most important point to be emphasized is that buildings should be de-emphasized and individual programming should be emphasized.

II. The Need for Change

The President in his remarks to the National Conference on the Judiciary has stated that "the time has come to repudiate once and for all the idea that prisons are warehouses for human rubbish; our correctional systems must be changed to make them places that will correct and educate"¹ And in his message to the First National Corrections Conference the President stated, "At long last, this nation is coming to realize that the process of justice cannot end with the slamming shut of prison gates... the protection of society depends largely on the correction of the criminal ...98 out of every hundred criminals who are sent to prison come back out into society ..."²

The tragedy, however, is that our correctional system is failing; it is time to re-examine our approach to correctional systems and prisons. " Unacceptable conditions mark every aspect of the correctional effort: In pretrial detention, in sentencing procedures, in probationary supervision, in jails and prisons,

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¹ * Drake Law Review, Summer 1972

¹ Address by President Richard M. Nixon, The National Conference on the Judiciary, Mar. 11, 1971.

² Address by President Richard M. Nixon, The National Conference on Corrections, Dec., 1971.

and in parole."³ The system of locking up and ignoring law violators has resulted in centuries of neglect. Alternatives must be found to the traditional approach to corrections. It is time to recognize the society has a responsibility of itself as well as its criminals, and the attitude that we are soft on crime if we do not just lock up criminals must give way to the rehabilitative approach. This "rehabilitative effort should be maximized in every aspect of the correctional apparatus, while the loss of personal freedom should be used as a deterrent only under constructive conditions emphasizing ordinary human decency and avoid punitive degradation."⁴

Chief Justice Burger has outline the urgent needs as follows:

1. Institutions that provide decent living conditions, in terms of an environment in which hope can be kept alive.
2. Personnel at every level who are carefully selected, properly trained, with an attitude of understanding and motivation such as we seek in teachers; and with compensation related to the high responsibility.
3. Improved classification procedures to insure separation of incorrigibles from others.
4. A balanced program of productive work, intensive basic education, vocational education, and recreation.
5. Communications with inmates.
6. A system of justice in which judges, prosecutors and defense counsel recognize that prompt disposition of cases is imperative to any hope of success in the improvement of those convicted.⁵

Most persons who commit crimes are under-education, under-employed and under-motivated; it makes sense to treat that problem if correctional systems are to restore our criminals to society as productive individuals. What is needed is a humane approach that recognizes that the law violator is still a human being - a human being that can be reached not through custodial restraints that breed resentment but through a rehabilitative effort concerned with his individual needs.

Our present prison system is in a deplorable condition. Chief Justice Burger says: " Many of our problems flow from having institutions that are too large, are overcrowded, that are poorly located and inaccessible to the family of the inmates, too far away from facilities for work release programs, and lo-

3. Committee for Economic Development, Reducing Crime and Assuring Justice, 40 (1972).

4. Id.

5. Address by Chief Justice Warren E. Burger, The National Conference on Corrections, Dec. 7, 1971.

cated in areas that do not provide adequate housing for personnel of the institution."⁶

There is an "immediate necessity to replace obsolete prisons oppressively managed with decent facilities where opportunities for education, training, and personal development are available under the guidance of qualified and sensitive staffs."⁷ Since the ultimate aim of a rehabilitation effort is to return the law violator back to a productive life within the law, it should be recognized that "prolonged removal of an offender in an institution, serving vast numbers, in no way completely prepares him for living in society. Since the offender has demonstrated a disability in community life the modification of behavior should be similarly situated. This naturally would exclude those persons determined to be dangerous to themselves or others."⁸

This would, of course, require a great deal of effort but a community correction concept is an enlightened step in making detention more than simply punishment of wrongdoers. A community has the resources available to make rehabilitative efforts meaningful in a social environment. This approach of treating a law violator as an individual with his own individual needs is the key to rehabilitation. That concept coupled with community treatment can extend throughout the criminal justice system.

Constitutionally, persons charged with crime are presumed innocent until tried and found guilty. One of the problems of our criminal justice system, however, is the period of time between arrest and final disposition by the courts. Although prompt disposition of cases is a vital goal in the administration of justice, the opposite is generally the rule. Chief Justice Burger has set a national goal of disposing of criminal cases in sixty days from the date of arrest to the date of trial. The ever-increasing criminal case dockets render this goal a practical necessity in order to not only improve the criminal justice system but also to keep it from essentially breaking down because of undue delay and congestion. Consider the effect of delay on the accused who languishes in jail, before trial. The more affluent can be released on bond and thus are better able to maintain job, family and income. It is often the poor who bear the burden, and it is small consolation to those that their constitutional presumption of innocence has been maintained with them in their jail while they await trial.

6. Id

7. Riverview Release Center, Why-Area Correctional Institution (1971).

8. Committee for Economic Development, Reducing Crime and Assuring Justice, 13 (1972).

The system of bail should be thoroughly reviewed. Where the accused may reasonably be expected to appear for court appearance, he should be released. An accused with satisfactory roots and ties in the community should be allowed release on his own recognizance. Beyond this, however, the community can become involved by instituting a supervised bail for those who although unqualified for the pre-trial release could benefit from help rather than waste "dead time" languishing in jail. The program might include obtaining employment, family counseling, supervision - whatever is indicated as the need in each case.

Such programs as pre-trial release and supervised bail, if the community is involved and with the confidence of the court, can be of benefit to the accused beyond the "dead time" between accusation and trial. Such programs can furnish the court with information to realistically deal with the accused not as a statistic but as a human being who can demonstrate the potential of improvement. Without a pre-trial release program where the court can get a diagnosis of who the accused is and what his problems are, there is danger of treating him like a statistic because that is all there is - the cold bare facts of his life. What the accused probably needs is an education or somebody who cares in order to change him.

That in essence is what is needed in corrections and rehabilitation - a change in direction away from the impersonal, mass approach which treats the law breaker as a statistic who has to be sent to prison to be punished to the personal, humane approach. The key to reform is the recognition that rehabilitation should be extended by a community that cares about the individual's personal needs.

Two words are used often in this article. They are humane and rehabilitate. A brief definition of these words seems necessary. Humane is not a "hearts and flowers" approach. It is not a lady bountiful way of doing things which says "Here! Let me do that for you. Let me solve your problem for you." The fact is that a true humanitarian treats people with respect for their dignity and this approach sometimes seems harsh and offends the hearts and flowers humanitarians. In our efforts to rehabilitate we must not degrade people. We must enhance their sense of their own dignity.

Humane is more than nice people doing nice things. It is nice people assisting others to do for themselves, helping others to feel a sense of achievement, making humans feel like humans.

III. Mechanics of New Corrections

The Polk County Department of Court Services was created in 1971 to serve as an administrative framework for the coordination, integration, and development of several projects involved in providing alternatives to the traditional institutions of the criminal justice system. As the coordinator of four functional units, the Department of Court Services provides a comprehensive community-based correctional program for Polk County, Iowa. The units are Pre-Trial release, Community Corrections, Pre-Sentence and Probation, and Fort Des Moines Correctional Facility.

The Department in developing and implementing alternative corrections programs has recruited staff from a very wide range of categories, in terms of personalities and social groups, experience and educational background. The staff is made up of a considerable number of non-professionals, para-professionals, ex-convicts and individuals with considerable "street knowledge." However, the staff has a good balance of college degree people, too. The following pages are a descriptive narrative of the services and procedures of the four operating units.

A. Pre-Trial Release Unit

When an individual is arrested and charged with a crime he is taken before a magistrate for arraignment. The magistrate informs him of the crime he has been charged with and sets bail. The purpose of bail is to assure the defendant will appear for trial. Bail traditionally has been thought of in terms of money. It is assumed a person who puts up money for his release will not run because he then would lose his money. The problem with money bail is that people without money are placed in jail without any consideration of whether or not they will appear for trial.

The purpose of the pre-trial release program is to determine whether or not the individual, if released without money bail, would appear at trial. Thousands of people have been released without money bail since the program started in 1964 and only 2% have failed to appear for trial. This is a better record than the money bail system.

A very important element in establishing the pre-trial release program was locating its offices in the Municipal Court Building. The close contact of the staff with the police, jail, and courts enables the staff to keep current on new information about the defendant. It also gives a mantle of authority appearing to be a branch of the court.

Part-time interviewers interview the accused immediately after arrest. They have a standardized interview form. The only persons not interviewed for potential release through the program are those charged with intoxication, failure to appear, federal offense, and juvenile offenders, or persons on whom "holds" have been placed. The questions on the interview form relate to the accused's present and past employment, length of residence in the community, prior criminal record, family ties and obligations, and names of close friends, relatives or working associates. The point system is as follows:

To be recommended for release on his own bond, a defendant needs a Polk County address where he can be reached and a total of five points from the following categories:⁹

- 3 points for one year or more at present residence
- 2 points for six months at present residence
- 1 point for four months at present residence
- 3 points if defendant lives with wife and had contact with other family members
- 2 points if defendant lives with wife or parents
- 1 point if defendant lives with family person whom he gives as reference
- 1 point if defendant has lived ten years or more in Des Moines
- 4 points if at present job one year or more
- 3 points if at present job four months
- 2 points if at present job one month
- 1 point if defendant has a current job, or was unemployed three months or less with nine months or more on prior job, or receiving employment compensation or welfare, or supported by family
- 2 points if defendant has no criminal convictions
- 1 point if defendant has no criminal convictions within the past year
- 0 points if felony conviction or misdemeanor conviction within the past year
- 1 point if two or more felony convictions

The names of persons well acquainted with the defendant are obtained in order that the information provided by the accused can be verified. Usually one or two of the persons given as verifiers are contacted by telephone by the staff interviewer. Records of prior arrests and convictions and present "holds" or bench warrants are obtained from the State Bureau of Criminal Investigation and the Des Moines Police Department on all persons interviewed.

If the defendant scores 5 or more points the "project" recommends to the judge that the defendant be released to the project without surety bond. If the defendant is released to the project he is required to call the office every Wednesday to inform them of any change in residence or employment status. If the

9. A Description of the Functions and Procedures of the Polk County Department of Court Services.

defendant fails to appear for his scheduled court appearance the staff attempts to locate him. If his failure to appear was intentional his release is revoked. If unintentional, as is usually the case, the judge may continue the bond. If the defendant is arrested for a new offense committed after release his project bond is revoked and he is not eligible for pre-trial release.

The Pre-Trial Release Unit has a program of nighttime investigation and release. In this phase of the program, the pre-trial staff interviewers are permitted to release only those persons confined in the jail who are accused of misdemeanors. If, after the standard interview is completed, the accused misdemeanant qualifies for release, the defendant signs the non-surety bond. The bond is taken to the jailor and the accused is released without obtaining the approval of a judge on the night of his arrest. The accused misdemeanant is required to appear before the judge the following morning.

If the defendant is not released on some bail procedure Iowa law requires a bail review hearing within 24 hours.¹⁰ The judge must by specific findings show why the defendant should not be released pending trial. If the defendant remains incarcerated all the information and records obtained on the defendant during the pre-trial release interview process are given to the Community Correction staff.

The Pre-Trial Release Unit offers no treatment for the accused. Its sole purpose is to obtain and verify information to assist the court in its discretionary decision of whether or not the accused should be released on his own recognizance.

B. Community Corrections Unit

The Pre-Trial Release Program was modeled after New York's Vera Manhattan program. The Community Corrections program is a totally new program, a pioneer in the nation. It is a release with supervision bail project.

The Pre-Trial Release program demonstrated that solid family and community ties and steady employment were sufficient indicators that an accused would appear for trial without the traditional case bonding system. However, indigent defendants lacking family and community ties and steady employment remained at the mercy of the professional bonding system. This group was unlikely to be able to raise the money required for a cash bond or for the professional bondsmen's fee and continued to be incarcerated in the period prior to trial.

10. Iowa Code # 763.17 (4) (1971).

Therefore, the Community Corrections project was created to demonstrate two points. One, that people who were not eligible for release on recognizance could be released safely on a supervised release. Two, that community treatment could be used more often and with safety to the community. Thus the project seeks on the one hand to improve the bail procedure by providing an additional method to safely release indigents prior to trial while on the other it seeks to improve the correction effort after conviction by starting the treatment program immediately following arrest. The period of time following arrest and before trial is the time the accused is most willing to make a change of behavior. By the time of conviction the embarrassment of the situation has worn off and the opportunity to make maximum treatment impact is gone. However, there is a cardinal principle religiously adhered to by the staff- the defendant is presumed innocent and they should in no way involve themselves in the issue of guilt.

The Pre-Trial Release Unit makes its recommendations to the court based on objective findings. Community Corrections makes its recommendations based on subjective standards. In other words, it is the staff's judgment that the accused will appear for trial.

Continuation of the Community Corrections bond is dependent upon a level of positive performance achieved and maintained by the client throughout the pre-trial period. The intensive supervision by the staff not only increases the probability of the appearance of the client at court but also serves several other positive functions. Supervision attempts to re-integrate the defendant into the community, his family ties and friendships, his employment ties, and other positive community ties.

In making the decision to sentence the defendant to the penitentiary or to Community Corrections such as the county jail, work release or probation, the judge looks closely to the existence of the defendants "roots" in the community and his progress pending trial in correcting himself. Of course, if he is in jail he cannot demonstrate any behavioral change. Through release under supervision, an attempt at a program of behavior modification can begin. This may be obtained through the exploration and utilization of community roots through employment, family psychiatrist, drug and/or other types of counseling programs.

The selection of the right case work supervisor is most important. For example, an accused with psychological problems is assigned to a counselor with experience in this field. A small caseload is also important. The treatment

program is tailor-made for each individual in the program. It is based on information gathered from the initial interview, psychological tests and the psychiatric consultant's interview and evaluation. Often the accused's behavioral problem is related to employment. The counselor seeks to identify the factors involved such as absenteeism, problems with supervisors, ineffective job performance, et cetera.

The counselor's prospective success is measured in degrees and is summed up by this thought: "I have altered the defendant's behavior in some way so that he can see himself and others better and is thus able to cope with his problems."

After the counselor and client (defendant) identify the problem areas through one-to-one counseling and community resources, the problem areas are addressed. Some problem areas and resources are drug counseling, therapeutic alcohol counseling and treatment, job training and vocational rehabilitation, employment, psychiatric counseling, family and marital counseling, financial counseling, educational programs and medical treatment.

The project has a program of night activities. The major premise for development of the night program was to provide closer contact between the project and the client and to provide closer supervision of clients during the evenings. Educational service to clients was envisaged as a possible role of the night program. Instruction in such areas as health, family planning, and legal services was intended to be a primary focus of the program. The night programs have not been outstandingly successful. Community participation has been limited. However, efforts are continuing to improve this phase of the program.

At the conclusion of the project's supervision of a client and immediately prior to sentencing, the client's counselor makes a recommendation to the court. In the final recommendation, the counselor outlines the significant developments in the course of the client's release to the Community Corrections Unit. The Unit proposes that the court be cognizant of the positive community, family and employment "roots" which have been formed or strengthened in the period of supervised release. The recognition of positive community ties facilitates the court in arriving at a sentence which will most benefit the continued rehabilitation of the client in the community setting. If considerable progress has been demonstrated by the client the project counselor recommends a deferred or suspended sentence. If the court follows the Unit's recommendation, the client is trans-

ferred to the probation unit of the Department of Court Services. A smooth transition from pre-trial to post-sentencing supervision is thus accomplished. Furthermore, information on clients can be swiftly and completely forwarded to the client's probation officer. The community "roots" developed in the pre-trial period are undisturbed with such a transfer.

As in the Pre-Trial Release Unit, a client's Community Corrections bond is like the Pre-Trial bond, conditional upon the observance of the conditions of the contract signed by the client upon release to the project. Further, if no identifiable progress of the client in the program is made, the project may recommend his return to jail. This, indeed, is an unusual circumstance, but does occasionally occur. Unlike the Pre-Trial Release Unit, the Community Corrections Unit primarily emphasizes treatment although it also functions as an alternative to the traditional cash bail bonding system.

C. Pre-Sentence Investigation Unit

Traditionally in Iowa, the pre-sentence reports have been provided for the sentencing judge by the Iowa State Bureau of Adult Corrections. In order to facilitate the smooth and orderly transition of defendants from pre-trial supervised (Community Corrections Union) to post-sentence supervision (Probation) or incarceration within the Department of Court Services Fort Des Moines Correctional Facility, the Pre-Sentence Investigation Unit was added to the Probation Department. Officially the employees of this Unit remain on the state payroll but work in the County's Probation Department offices. Thus what has been learned about the defendant in the Community Corrections Unit can be utilized in the preparation of the pre-sentence report. Although the Community Corrections Unit recommends a certain course of action to the court on behalf of the defendant, the systematic investigation of the defendant's social history and present condition outside of supervision provides a complementary service to the court. The recommendations offered to the Court for the sentence of the defendant are formulated without consultation between the two Units. The objectives of the reports are similar to those stated in the federal pre-sentence manual:

It is focus light on character and personality of the defendant, to offer insight into his problems and needs, to help understand the world in which he lives, to learn about his relationships with people, and to discover those salient factors that underlie his specific offense and his conduct in general. It is not the purpose of the report to demonstrate the guilt or innocence of the defendant.

The report is designed not only to aid in determining the appropriate system but also to aid the correctional people in their classification and treatment programs and in their release planning.

D. Probation Department

County probation departments have usually served a limited purpose in Iowa. It should be noted probation is granted by the court while parole is granted by the parole board. Most probation cases have usually been assigned to the Iowa State Bureau of Adult Corrections. In formulating the plans for the new county Department of Court Services maximum cooperation was received from the Iowa State Bureau of Adult Corrections. The new County Probation Department assumed all the new probation cases.

When the probationer is sentenced to probation he is instructed by written order contained in the sentence to appear immediately at the probation office to be placed under supervision. The first step when he arrives at the office is to complete a "probationer's statement" dealing with his social history, prior offense record, and brief summary of his version of the offense. The probationer is then briefly interviewed by a staff member. The initial intake is undertaken by all staff members before the staffing of the probationer. The initial intake is designed to investigate basic information about the probationer and to determine the attitudes of the probationer. Utilizing this random staff intake process, all staff members are acquainted somewhat with the probationers under the office's supervision. The probationer is, in the initial intake, acquainted with the conditions of probation, which apply to the probationer until assignment of a probation officer. The probationer indicates that he understands and accepts the conditions of probation by signing the initial intake form.

An appointment date for the first probationer-probation officer interview is arranged by the staff secretary. At the arranged date the probationer is interviewed by the assigned probation officer and the conditions of probation are re-examined and altered if necessary. A probation contract is signed at this time by the probationer.

The contact between the probationer and the probation officer, a condition of the probation contract, depends largely upon the status of the probationer and upon which probation officer has the case. If the probationer is unemployed, contact will be required once or twice per week. An employed probationer is required to contact the probation officer usually twice a month, one telephone contact and one personal contact. Some probation officers may require unemployed

probationers to contact the officer every day until he finds employment.

Probation officers have an average caseload of 70-80 probationers. With such a caseload, a structured supervision program is impossible to develop. The primary emphasis in the program of supervision is the placement of probationers in jobs, vocational training programs and educational programs in the community. Hopes for the future are to reach the recommended level of 35 probationers per counselor.

Employment or enrollment in community programs is of utmost importance in keeping the client out of criminal activity. It is a benefit to the client in another important aspect since the client is more likely to be discharged from probation by the court if he is employed or enrolled in community educational or vocational training programs. For these reasons, a probationer is very actively encouraged to find employment or enroll in rehabilitative programs.

When the probationer has violated a condition of probation the probation officer notifies the sentencing judge within 24 hours. Within 48 hours a report is made to the sentencing judge by the probation officer recommending a certain course of action concerning the probationer. A decision on change in probationary status or revocation of probation is made by the court, but most often the court follows the probation officer's recommendation.

The defendant, receiving a suspended sentence, is placed on probation for a period of one to three years. Near the conclusion of the probation period or when the probation officer feels the probationer is ready for release, the probation officer sends a review-of-discharge petition to the court. If the conditions of probation have been fulfilled, the sentencing judge files a discharge order with the probation department, clerk of court, and the county attorney. A letter of closure is given to the probationer by the court and all files are officially closed and the probationer is released from probationary supervision. In a deferred sentence probation, the procedure is much the same except when the probation supervision ends. At that time the defendant is allowed to withdraw his plea of guilt, and the court dismisses the defendant's case with prejudice. All records may be destroyed upon order of the court.

E. Fort Des Moines Residential Corrections Facility

The Fort Des Moines Residential Corrections Facility is a pilot program offering an alternative to the traditional maximum security county jails. In-

stead of letting a man vegetate in an iron cell, the new facility seeks to instill hope in the offender. Hope is nourished best by recognizing each offender's disabilities and helping him, specifically him, in handling them. That sounds simple and perhaps is too simple but it is the guiding principle of the facility.

The statutory authority for the "revolutionary" jail in Chapter 204 of the Iowa Code. The Fort Des Moines facility is located in an abandoned two-story Army barracks. The physical design of the institution allows for only a limited number of offenders. Sleeping quarters, located on the second floor of the building, consist of only 36 private bedrooms and three small dormitories capable of housing 14 offenders. Although the private bedrooms are small, room enough only for a bed, dresser and foot locker, they do allow for a considerable degree of privacy, particularly since each client has keys for his respective bedroom door and foot locker.

The first floor consists of staff offices and two large rooms of equal size for community living. In one half of the community living area the clients are provided with equipment for playing such games as cards, checkers, chess, pool, and table tennis. A juke box has also been provided for the client's entertainment. The other half of the community living area contains a color television set, sofas and easy chairs. Vending machines located in the community living area enable clients to obtain cigarettes, soft drinks, candy and coffee. Also located on the first floor are pay telephones for the use of the clients. This is probably the only correctional institution in which inmates can call their wives, mothers, friends or anyone else any time they want to without any monitoring of the call. This permits maintenance of close family and community ties. The phones have been abused on occasions when girlfriends have been called to pick up escapees. But the clients are not considered dangerous and all escapees have been captured.

Prior estimates of the costs to build a new county jail ranged up to \$4 million. The Fort Des Moines facility demonstrates it is not the build that counts but the programs and people that make the determining factor. The renovation plan of the Army barracks was designed to provide a number of positive features for the institution as a rehabilitation center. The private bedrooms with locking doors were included to provide clients with a place of their own in an effort to reduce the dehumanization usually associated with correctional institutions. This plan also allowed the facility to place a reasonable limit to the number of clients

accepted into the program. The relative "openness" of the institution, aside from the private sleeping quarters, was designed to make it quite difficult for clients to hide from either the staff or their peers. As mentioned previously, the renovation plan provided for access between clients and counselors, a very positive element for institutional correction.

The facility, on the other hand, was not designed for activities such as recreation, education, or vocational training. The staff was therefore forced to make maximum use of resources already existing in the community. The goal was to demonstrate that correctional facilities located in or adjacent to cities need not make high capital investments in classrooms, shops, gymnasiums and infirmaries. Thus the Fort Des Moines facility operates as a residential institution, highly dependent upon community resources and services.

Community resources for recreational purposes are heavily utilized. A volunteer program has been implemented to develop daytime activities such as arts, crafts, lectures and daytime trips. A mobile library calls at the institution every Saturday. Recently, a citizens advisory committee composed of five business leaders and five labor leaders was organized. The committee will assist with job placement, program development, and the development of cost effectiveness techniques.

It should be emphasized that the only staff members who had had experience in correctional institutions are former offenders who have served time. This lack of experience creates some problems, but it is the opinion of the Department that there have been many positive results. The inexperienced staff, as a group, tend to be more oriented toward serving people (problem solving) and less oriented toward system preservation. There also tends to be a freshness of approach in the input of program development. As a result the inexperienced staff tends to propose, develop and implement programs which more experienced staff are generally less willing to embrace. It is this willingness to experiment, to develop new concepts, and to innovate without hesitation that truly delineates between the traditional correction approach and the "alternative" concept of corrections employed by the Department of Court Services.

The Fort Des Moines facility does not totally replace the traditional maximum security jail. The alternative to transfer to the jail serves as a positive instrument for behavior modification. If a criminal offender is not making progress in the Fort Des Moines facility, he is transferred to the county jail to complete his sentence. He is, however, periodically interviewed to determine if he has had a change of mind.

1. Process and Procedure

The Fort Des Moines facility first comes into contact with a criminal offender when the director of the facility is notified by the court that a male felon will be sentenced to the Fort Des Moines facility. The director is also periodically requested by attorneys and other interested parties to interview defendants and possibly suggest to the court that they be placed in the Fort Des Moines program. Names of potential clients are referred to the intake officer who, having received the information, conducts the interview.

The primary interview format is a series of questions which are designed to indicate the basic thought processes of the client and the capabilities which the client has to utilize in a correctional program. In addition, basic demographic data concerning the potential client is collected and recorded on the face sheet information form. A recommendation concerning the suitability of the defendant in the correctional program is forwarded to the judge.

If the Fort Des Moines facility is at capacity the client is placed on a waiting list and remains in the county jail. However, if the facility is at less than capacity and the court has decided that the offender will be placed in the Fort Des Moines Program, the intake officer obtains the court order and certification of release from the clerk of court's office and presents these to the jailor. The offender is then released from jail to the intake officer's custody.

The first week of the client's stay in the Fort Des Moines facility consists of intake workup and orientation. The client is not allowed to look for employment or participate in outside activities for at least the duration of the first week. The intake officer utilizes this period for client behavior observation and evaluation. A contract is signed immediately by the client specifying certain restrictions prior to the client's placement in an appropriate treatment team.

During the first week, the client is required to complete an employment application (supplying essential data to the project about the client's educational and employment history), to write a short autobiography, to develop an original treatment program, and to give reasons why he believes such a program would benefit him. The counselor-intake officer collects from the probation office the pre-sentence report concerning the client if one has been conducted. If a pre-sentence report has not been made, the counselor-intake officer undertakes an investigation, although quite limited, to determine essential information about the client. All the above information is placed in the client's file.

The intake officer and the case work supervisor evaluate the information collected concerning the client and decide which "team" presents the most positive program for the client's rehabilitation. Their assessment is based upon the client's record of prior arrest, his general social history, the impressions obtained by the intake officer in the initial interview conducted in the jail, the client's autobiography, and treatment program, and the observed behavior of the client during the first week at the facility. When the client is assigned to an appropriate team and counselor, all information and records are placed in a file and given to the counselor assigned to the client.

Clients are introduced to Fort Des Moines staff in the orientation group. The client is acquainted with requirements, procedures, and program format of the Fort Des Moines Correctional program in the first-week orientation group.

2. Program Development: "Team" Approach to Treatment

Although any treatment program must be individually meaningful, basic problem areas or personality types must be sorted out and dealt with as treatable groups, if for no other reason than for lack of sufficient staff. In order to deal with the most frequent client problem areas a team program was established early in the development of the facility. This "team" concept is borrowed from the program of the Riverview Work Release Center in Newton, Iowa, and the Concentrated Employment Program in Des Moines. As the Fort Des Moines Program has developed, the team has become even a more important treatment concept.

The teams have been composed of roughly a two-to-one client-counselor ratio. Clients are divided into three primary groups: drug, mature and immature. Although these specialized teams cannot hope to accurately describe all the divisions of the Fort Des Moines clientele, general types can be identified and more appropriate treatment methods developed.

Following intake, orientation, evaluation, and placement, and within the first two to three weeks, the clients are interviewed by the part-time psychiatric consultant. The psychiatric consultant conducts interviews with new clients on Thursday of each week. The psychiatric evaluation is utilized primarily to aid the counselor in the one-to-one counseling rather than in treatment in the respective teams.

During this one to three week period a part-time vocational rehabilitation counselor interviews the new clients in order to define possible goals and programs might be most beneficial for the client: Vocational training programs,

educational programs or employment.

The services of the vocational rehabilitation counselor are crucial in the placement of clients in the community programs when they are ready and able to handle work in educational release. The Fort Des Moines Program has in the last months begun to de-emphasize the immediate participation of clients in programs outside the institution. The staff has observed that in the past clients have been pushed into programs in the community before they have developed the capability to function outside the institution. This premature release into outside programs led to at least two negative results: one, some clients had additional difficulties in the treatment program within the institution. Since the clients were unable to perform satisfactorily in these programs outside the facility, little positive use of these ties could be made in the rehabilitation program. Two, the poor performance of clients in employment in the community tended to discourage employers from accepting clients from the facility. That is, the premature placement of clients in jobs in which they could not perform tended to "dry up" employment resources. When employment resources are as scarce as they are currently, such a situation could only be damaging for the Fort Des Moines Program.

Clients continue in the Fort Des Moines Program until the staff feels that the client has progressed in the program as far as he is able. It is hoped that clients will at this point be able to adjust to the outside world. If the client is deemed ready to be released, a request is sent to the sentencing judge for the placement of the client on probationary supervision.

If, however, the client has not performed well in the program, or has broken the agreement of his contract, he may, if judged advisable, be returned to the county jail. In that event, a hearing is conducted by the court to have the facility show cause to the judge, the defense attorney, and the client why the client should be returned to jail.

A third possible recourse in the termination of the client's stay at Fort Des Moines is the transfer of the client to another facility, if it is deemed that another facility has a program which may benefit the client's rehabilitation. Several drug clients have recently been transferred into the drug treatment program at Clarinda State Hospital. Other clients may be transferred to other facilities which have treatment programs the facility lacks, such as programs in alcoholism treatment and psychiatric treatment. In each case the judge makes the decision concerning the transfer or release of a client.

The foregoing detailed information about the Polk County Department of Court Services is not proposed as a panacean model which is inherently replicable in areas outside of Polk County. If it has demonstrated anything, the development of the Polk County program has shown that flexibility is a necessary ingredient in the process of implementing new correctional programs to meet the needs of specific communities. Thus the information contained herein is only intended as a guide and not necessarily as a sort of "magic cure-all" model for universal duplication.

SWIFT BIRD STORY

By October, 1978, the Cheyenne River Sioux Tribe of South Dakota, hopes to open the doors of a new pre-release corrections facility which will serve as an alternative method to incarceration for Indian inmates in a five-state Northern Great Plains area. The facility will be known as the Cheyenne River Swift Bird Project and will be governed by a five-member board of directors appointed by the Tribal Council.

The Tribe has been working with the staff of the Native American Rights Fund for over three years in development of this project. The idea for the alternative method of incarceration grew out of NARF's work in Indian corrections and has been endorsed by the Law Enforcement Assistance Administration, the Bureau of Indian Affairs and other officials in the corrections field.

According to staff attorney, Walter Echo-Hawk, who has spent the majority of his five years at NARF in corrections work, the concept for developing an alternative corrections facility grew out of NARF's work on behalf of Indian inmates who are presently incarcerated in a number of state, federal and local penal institutions around the United States.

During the early years of NARF's development; staff attorneys received many requests for assistance from Indian inmates who complained of poor prison conditions; the lack of cultural and religious programs geared to the special needs of Indian people; and a general insensitivity to Indian customs and practices.

It became apparent to NARF personnel that there was no special body of case law for the protection of cultural rights of Indian prisoners.

NARF's early litigation activities have for the most part, been undertaken in an effort to sensitize penal authorities to those special cultural needs of Indians which are critical to their rehabilitation. Where the officials were not sensitized, NARF litigation proceeded to trial in an effort to obtain judgments requiring special treatment to meet Indian needs. Through the past five years, NARF has been successful in developing that body of law for the cultural rights of Indian prisoners. This body of law has been developed so that Indian prisoners could have access to Indian experiences which the dominant society has stolen or distorted - experiences without which Indian people are lost.

NARF's litigation and research efforts in the Indian corrections field were first made possible through a grant from the Irwin-Sweeney Miller Foundation. This foundation was able to support the time of two full time attorneys for a

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two year period, until November, 1975; since that time NARF has had to reply on the general support of the Ford Foundation in order to see that the rights of Indian inmates were assured in the prison setting.

Because the traditional criminal justice system has failed to adequately rehabilitate Indian people, the concept for an alternative method of rehabilitation was developed. Staff attorneys working in the Indian corrections field felt that there was only so much relief that could be accomplished through lawsuits. More work had to be done in changing individual attitudes and in getting Indian people employed in corrections administration. Although much relief for Indian inmates was secured through NARF's litigation efforts; staff attorneys felt that they were "spinning their wheels" in trying to alleviate problems with the traditional criminal justice system. They, therefore, felt that time would be well spent in developing an alternative to the traditional Anglo incarceration system, assisting inmates in getting out of prison, incorporating Indian rehabilitative techniques and concepts in a pre-release environment.

The Cheyenne River Sioux Reservation was selected by the NARF staff as an ideal setting for establishment of a facility for Indian offenders because the tribe owned an abandoned job corps facility - known as the Swift Bird Job Corps Camp. This facility was built in 1968 and was scheduled for opening in 1969; however, with a change in the Washington Administration, the intended job corps facility was never opened and funds were never appropriated for its operation. The Swift Bird Camp has remained idle and unused for almost ten years; it was built at a cost of nearly three million dollars and is used only to house bulk foods for the nearby community of Marksville with the gymnasium being used by area children for recreational activities. NARF had explored the potential for a pre-release correctional facility on at least two other Indian reservations - the San Carlos Apache Reservation in Arizona and the Pottawatomie Reservation in Kansas. Both of these sites were rejected and deemed unacceptable for use.

NARF staff felt that the ideal sponsoring agency for an alternative corrections facility would be an incorporated Indian tribe, since they are considered local units of government and eligible for a variety of funds and able to enter into contracts for governmental and legal purposes. As originally conceived by NARF, this alternative setting would be an Indian-run facility and would reflect the cultural and religious values of Indian people. It was originally projected that Indian offenders who were planning to return to reservation settings would be most interested, and best served, in such an alternative facility and program.

In 1973, the Native American Rights Fund Corrections staff began discussions with the United Sioux Tribes of South Dakota. During a ten-month period these two programs began a joint study to assess the feasibility of locating an Indian-controlled corrections program somewhere in South Dakota. The program would serve Indian offenders incarcerated in five target states (South Dakota, North Dakota, Nebraska, Minnesota, and Montana). In a resolution dated August 21, 1974, the United Sioux Tribes formally endorsed the concept of an alternative corrections center for Indian offenders. In November, 1974, NARF staff, United Sioux Tribes staff, and a correctional Architect-Planner visited the Swift Bird Job Corps facility located on the Cheyenne River Sioux Reservation. As a result of this visit and inspection of the facility, NARF, the Cheyenne River Sioux Tribe, and the United Sioux Tribes began to further evaluate the potential for location of an alternative corrections center at the Swift Bird facility.

Later, in the spring of 1975, the Cheyenne River Sioux Tribal Council formally endorsed the concept of converting the facility into a correctional center for Indian offenders. In May, 1975, the Nebraska Indian Commission formally endorsed the concept and offered its assistance. Later in 1975, the Tribe and NARF prepared and submitted a request for extensive funding to the Law Enforcement Assistance Administration (LEAA). LEAA administrators responded favorably, but felt that the concept had not been thoroughly developed from a correctional perspective.

Late in 1975, LEAA allocated \$15,000 to the Cheyenne River Sioux Tribe for a feasibility study. For several months the Tribe and NARF searched for correctional consultants to execute the study, and chose Community Corrections Resource Programs, Inc. (CCRP) of Ann Arbor, Michigan, in June, 1976. CCRP began its work in June, 1976, and completed a summary report and feasibility study in December, 1976.

DEVELOPMENT

The Swift Bird Project is now being developed with funds from LEAA and the BIA. NARF has received the continued support and cooperation of LEAA Indian Desk Director Mr. Dale Wing since preliminary discussions began on the alternative to incarceration concept. In addition, Mr. Eugene Suarez, Chief of the Division of Law Enforcement Services for the Bureau of Indian Affairs, has given enthusiastic support.

Board. Those appointed to serve staggered terms were: Delma Traversie and Joan LeBeau, who will be co-chairpersons for the board; Mona Cudmore, a voting member, who is also the elected Tribal Treasurer; Mr. Lloyd LeBeau, Housing authority Director and Walter Low Dog, a member of the community of Marksville, located a quarter mile from the Swift Bird facility.

The Board of Directors will be the official authority for the Swift Bird Project. They will serve in an advisory capacity to the Director of the Project and assist him in approval of written employment standards, guidelines and qualifications for the Project. They will also assist the Director in the screening and selecting of residents; hear appeals and perform other duties as assigned by the Tribal Council.

Tribal Chairman Wayne Ducheneaux explained in a recent interview that the Swift Bird Project was chartered as a public corporation for liability and insurance purposes. The ordinance allows the project to sue and be sued as well as to enter into contracts with governmental authorities for financial and other purposes. Mr. Ducheneaux said the Tribal Council intends to keep politics out of the operation of Swift Bird; he personally believes that the alternatives to incarceration concept will work.

He comments, " I feel the Project is a good idea and I've been behind the concept 100 percent since it was proposed. There are a lot of unanswered questions which will be answered as the project develops. However, it is my firm belief that Indians can rehabilitate their own people better than anyone else."

He added that in his analysis of prison statistics, Indian people have the highest proportion of inmates incarcerated in the nation's prisons compared to their tribal populations. At Swift Bird, we are hoping for extensive counselling in order to reduce those numbers. The recidivism rate among Indian people has been high because the existing criminal justice system has failed them in many ways."

Tribal Chairman Ducheneaux has served as a major supporter of the Swift Bird Project and assisted NARF in its early efforts aimed at securing funds for the facility. He believes that the Swift Bird Project will serve as a source of jobs for Cheyenne River Residents and will serve to upgrade the reservation economy.

NATIONAL ADVISORY BOARD

In an effort to secure a wide range of ideas and development theories for the Swift Bird Project; NARF initiated the formation of a National Advisory Board

made up of corrections officials and Indian people from throughout the United States. The first National Advisory Board meeting was held in Eagle Butte, South Dakota on July 22 and 23, 1977. A second meeting was held in Boulder, Colorado, at the NARF central office on September 1 and 2, 1977. The following is a listing of those individuals who served on this board:

Delmar Hamilton, Counselor
Community College of Denver
Denver, Colorado

John Brown
Corrections Consultant
Livermore, California

Renee Howell
Ex-Offender Project
Rapid City, South Dakota

George M. Cuff, Chief
Probation and Parole Bureau
Helena, Montana

Jase Kennedy
Ex-Offender Project
Rapid City, South Dakota

Roy Haber, Attorney
Grenada, Mississippi

John Poupart
Minnesota Dept. of Corrections
Minneapolis, Minnesota

Joseph Havener, Warden
North Dakota Penitentiary
Bismarck, North Dakota

Delma Traversie, Alternate Rep.
Cheyenne River Sioux Tribe
Eagle Butte, South Dakota

Robert Sarver, Professor
University of Arkansas
Little Rock, Arkansas

Kenneth West, Representative
Cheyenne River Sioux Tribe
Eagle Butte, South Dakota

Jim Smith, Executive Director
Board of Charities and Corrections
Pierre, South Dakota

Douglas Van Zant, Warden
Washington State Penitentiary
Walla Walla, Washington

Edwin Zuern
Director of Institutions
Bismarck, North Dakota

Joseph Vitek, Director
Department of Correctional Services
Lincoln, Nebraska

It is anticipated that members of the National Advisory Board will be called upon from time to time to provide additional consultation and advice in development of the Swift Bird Project.

In addition to the Tribal Development Board and the National Advisory Board, many consultants have been retained to offer specific insights and a series of surveys have involved hundreds of persons in the development process. Probably the most significant resource of consultants are Indian Medicine Men. While the Medicine Men are not elected leaders of tribal government, they are held in deep and abiding respect by the Indian people. NARF has established a working relation-

ship with Medicine Men of several tribes. As a part of NARF's litigation efforts, they have been of assistance in doing affidavits and live testimony, as well as speaking to inmates and helping community groups interested in Indian penal reform. The Medicine Men realize the potential of incarcerated Indians in terms of future leaders and traditionalists, provided these prisoners can be brought back to their Indian and spiritual ways. One individual who has provided spiritual guidance for NARF's staff attorneys and others involved in the Indian corrections area is Mr. Wallace Black Elk, Lakota Medicine Man and grandson of the famed Black Elk. Mr. Black Elk will be called upon to serve as one of Swift Bird's advisors.

GOALS

A comprehensive list of goals have been defined for the Swift Bird Project by all of those individuals involved in the development process. These goals include the following:

Residents: Swift Bird residents will be encouraged to re-enter the mainstream of their respective societies after release; Swift Bird will help to build each resident's self-esteem, to raise his health standards, and to improve his general condition after release; residents should be crime-free and self-supporting after release.

Cheyenne River Sioux Tribe: Swift Bird should be a successful correctional program, should be a means of renovating and using facilities which are currently deteriorated and unused, and should offer Tribal members new resources and opportunities.

Correctional Agencies, Professionals, Other Tribes, Indian People, and Communities: Swift Bird should offer services and settings which do not currently exist, show that Indian offenders have special needs and different values, prove that Indian people can successfully treat Indian people, stimulate other agencies to adopt similar measures and approaches, and encourage the development of more "all-Indian" correctional settings.

STAFFING

The Cheyenne River Tribe, NARF and its correctional consultants realize that the staff will be critical to the successful operation of the Swift Bird Project. If the Project is to succeed, qualified, competent, and dedicated staff must be recruited, hired and trained on an on-going basis. To this end, the Tribal Ad-

visory Swift Bird Board of Directors has hired a core staff to coordinate and supervise all development activities at the Project.

On October 26, 1977, Richard B. Williams, an Oglala Sioux, assumed the position of Director for the Swift Bird Project. Mr. Williams is not a newcomer to the corrections field, having worked with NARF for the past two years as a paralegal for the Fund. In this capacity, Mr. Williams devoted much of his time to development of the Swift Bird concept. He also has conducted numerous workshops concerning problems of Indian inmates at meetings of the National Congress of American Indians, the National Indian Youth Council and the National Indian Education Association.

Mr. Williams has an undergraduate degree from the University of Nebraska at Lincoln with a major in University Studies. He has completed an internship in correctional management from the State of Arizona Department of Corrections as well as a program in Prison Grievance Mechanisms sponsored by the National Institute of Law Enforcement and Criminal Justice,

Mr. Williams feels strongly that the existing penal institutions are simply not designed to meet the needs of the Indian offender; and therefore, they fail completely in efforts to rehabilitate the individual. He commented, "the treatment that Indian people get in prisons is horrendous. The criminal justice system fails Indian people completely. It is not designed to meet the needs of Indians." He added, "the traditional system does not work for the non-Indian either. There are some negative concepts used in the criminal justice system which stifle the Indian way of life. As an example, friends and relatives of inmates are not encouraged to visit in the traditional setting; however, they will be encouraged at Swift Bird. The Indian individual is encouraged by the family and this idea will be incorporated into the Swift Bird model. There is virtually no follow up for Indian offenders when they are released from prisons. Follow up will be a major rehabilitation tool at Swift Bird since continual contact will be maintained with the released resident and he will be in most cases, assigned a spiritual advisor."

Mr. Williams points out that the Swift Bird staff is rather young compared to those administrators employed by the nations correctional institutions. The Swift Bird Board has hired an Indian woman as its Deputy Director of Administration. Ms. Susan Barnes, a Seneca Indian from New York, has been working with

the Project since July. She holds a masters degree in Criminology from the University of California at Berkeley and has worked in the Indian corrections field for the past several years.

Since 1973, Ms. Barnes has worked with the Native American Rehabilitation Program in Berkeley. In this capacity she was responsible for the organization and coordination of programs, parole plans, counseling for Native American inmates at San Quentin, Vacaville and Soledad State prisons.

As a part of her duties in the organization of the Swift Bird Project, Ms. Barnes will have the responsibility for program and educational development. Ms. Barnes points out that the Swift Bird project is designed to benefit Indian people and future generations of Indian people by offering individual Indian offenders an opportunity to define and meet their needs to expand their strengths so that they may return to their homes and communities and assume their responsibilities as traditional Indian persons. All programs and activities offered at Swift Bird will be consistent with Indian traditions, culture and values.

The Swift Bird Project intends to offer job opportunities for reservation residents and has hired a local Marksville resident to serve as secretary to the Project. Ms. Charlene Woods has worked in the Swift Bird office at Eagle Butte since September.

The Project will be moved to the Swift Bird site probably by next spring, when renovation is completed on one of the first buildings. The present Swift Bird office is located among tribal offices at the tribe's headquarters in Eagle Butte.

In addition to the core staff at Swift Bird, there have been several other individuals who have worked on program development, including: Mr. Walter Echo-Hawk, NARF staff attorney who has served as Development Project Director since the first discussions were held on the alternative to incarceration concept. CCRP, Inc. has been a subcontractor on the project since 1976 and will continue to work on the development aspects until February, 1978. Mr. Robert Frazier, A Choctaw Indian from Oklahoma and Mr. Jim Robideaux, an Oglala Sioux have served as researchers for the Project since the summer. Ms. Rebecca Romero has also assisted the Project as a researcher since October. Both Mr. Frazier and Ms. Romero have been researching traditional methods of dealing with deviant behavior among Indian tribes. Mr. Robideaux has been contacting Indian Medicine

Men and other spiritual leaders so that they may offer their services and guidance to the Project. He has also assisted in coordinating a spiritual conference which is scheduled for the middle part of December on the Cheyenne River Reservation. This conference is being held in order to bring together those individuals who will serve as spiritual and cultural leaders for the Project. Mr. Robideaux explained that the conference is necessary to bring about a good understanding of how the tribes can come together and pray together in the atmosphere of Swift Bird. "Swift Bird," according to Robideaux, has to offer something of spiritual value that will be acceptable to everyone and every tribe."

The Cheyenne River Sioux Tribe's Swift Bird Board of Directors is expected to advertise for additional staff during the latter part of December. They anticipate that they will be able to hire a Deputy Director for Operations, a Business Manager, Team Leaders for the development of the administration component, and some support staff. Already, the Tribe has secured assurance from the BIA and LEAA that these agencies will allocate funds for operation renovation and start up costs.

THE OFFENDER AS A PERSON

Carolyn Zimmet

Society labels certain people who deviate from the norm as "junkie", "schizophrenic," "Jew", "retarded," "criminal" - the list goes on and on. Hearing such labels, a person may form a mental image depending upon the perspective of the imaginer. Most of us have unconscious biases in relation to certain traits, and these biases shape our picture of an individual. In essence, we stereotype people; we put them in boxes. According to the dictionary, the term stereotype means "something conforming to a fixed or general pattern and lacking individual distinguishing marks or qualities, especially a standardized mental picture, "and it usually represents a judgment along with the mental picture. The number of groups about whom we may have stereotyped is endless.

Stereotyping is a confining process, because no person is ideally typical of any group or combination of groups. Each is unique. Have you ever seen two trees, two mountains, two snowflakes, alike? Just as no two trees, two mountains, two snowflakes are ever the same, no two human beings are replicated. Each is a multi-faceted individual with wants and needs peculiar to him in a certain time and space.

As helpers in the criminal justice system, we tend to group clients in certain categories. Not only is it more efficient in getting work accomplished, but it seemingly allows us a means of solving problems more expeditiously. If we can programmatically put clients into certain classifications, then the time and energy needed will be less than would be necessary for individualizing programs. Additionally, it puts us as helpers in an all-knowing posture to be able to say a client is such and such a person and, therefore, needs this kind of treatment.

Taking the total person into consideration gives us a different perspective from that which we would have if we dealt with only an "offender". By dealing solely with the "offender" part of a person, we reduce him from a whole and acceptable person to a tainted, stigmatized individual. He is reduced to an object and, because of being objectified, he is impotent in living. The parts such as parent, student, laborer, businessman, sexual being, etc., are never fully addressed when we look only at the offender portion. To deal effectively with a person, or to have effective

relationship with him, we must know all the parts.

Some of the clients in a community residential center will have spent only one year out of 25 or 30 or 40 as offenders, and yet that label marks them as grossly different, when, in fact, they are much more like you and me and the rest of society than they are different, it appears there is an ever present need to put a separateness between "us" and "them". It gives us a sense of identifying ourselves. At least we can say what we aren't in comparison to something or someone, even though we may not know who we are.

Even though the offender is very much like others in society, there is a tendency to attribute to him a wide range of imperfections because of his label. In fact, he is often seen as not quite human, not quite a person.

Because of this flaw in an offenders' social identity, there is a "dis-ease" in almost all of social situations which involve people not in the inner circle of his world. A major part of his interactions will be reactive in nature in response to his stigmatization. Doors are closed in both the world of work and the social world when it becomes known that he is an offender. This knowledge has a ripple effect on those who share the offender's life. For example, the child of an offender may be shunned by classmates when it becomes known that the father has been incarcerated.

For an offender and his family, there are both the problem of concealment and the problem of disclosure of his criminal life. He can pass many times as an untainted individual, perhaps being hired without the employer's being informed of his status. He must then decide whether or not to disclose the truth and to risk being rejected or fired. The offender has a tendency to vacillation is possibly based on his wanting to trust, but experience has proven that caution is a more pragmatic approach.

After having been a client in a community residential center, the ex-offender will often wish to be up front and straight about his situation. At the same time, the fear of being exposed and the ramifications of that exposure weigh heavily upon the person. The telling is always an individual thing; no rule of thumb can be used in specific situations. An individual's own uniqueness is basic to the telling process. The more whole a person becomes, the more self-actualized, the less he becomes a robot and a slave to the fear of exposure. As he leaves the fear of being who he is behind, he will experience the power to act, to do, to be an effective person. Socially,

this power is evident in the way an individual interacts with other people. As Goethe has said, "As soon as you trust yourself, you will know how to live."

Emotionally, power is shown in allowing oneself the freedom to feel. Actually, feeling emotions openly, clearly expressing them, and channeling them into a constructive action plan is difficult for most of his incarceration time is spent concealing and misrepresenting himself, as illustrated in this quotation, taken from Women Behind Bars"

"When my children come, I can hug them and hold them--But I can't fall apart and let them know how important it is they're there. You gotta give them strength to walk out with. You hurt but you don't force them through your ordeals about them coming and going. When they go they're not going to cry and I'm not going to cry ... not until after they're gone, anyway. What crying I do, I do alone."

Freeing himself from the past as an inmate is much like directing a play. The stage is changed and the role also. The scenario can change from prison grey to whatever color one feels like changing it to. While the offender was incarcerated, the spotlight was on him as offender, the other parts taking second place. When he leaves the prison, the focus changes (if he will allow it to) to that of father, mother, student, employee, or multiple other identities which take precedence over that of offender.

Letting go of the offender identity is not easy, because society generally continues to force the stereotype if there is knowledge of a person's criminal past. To come out of prison or jail is to be suddenly faced with making decisions. Finding people to relate to, a decent place to live and a job can be overwhelming experience. One prisoner expressed it in these words, reprinted from The Chicago Seed:

They give me twenty-five dollars when I get outta there
An' I wearing my winter clothes in July, an' everyone
knows where I comin' from
Six months I try to find a job, make it straight
But every door I push against closed tight.
This here piece of paper say I'm a first-class key puncher
But the man who give me the job, he say I flunk the test
Sheet man, I didn't flunk that test.
You think I'm a criminal. I done my time, but you
ain't reclassified me.
I always be a criminal to you

To become a person with social characteristics transcending "offender" means resisting the powerful forces of submission which can keep one in a state of helplessness. When an offender opens himself to experiencing person

growth, he at the same time opens himself to gain control over his life and leaving behind the sense of powerlessness and dependence.

An offender's behavior is unintelligible to another person without a key to understanding. Sidney Jourard has said, in Disclosing Man to Himself, "behavior is a code analogous to Egyptian hieroglyphics. It has meaning to the person which others can guess at, but need a key to understand." An offender's behavior carries out his goals and is an indicator of his values. He is seeking a way to be that which is meaningful and rewarding. A particular behavior is selected because it seems to be a way of upholding his values such as survival, identity, status, etc.

Playing it cool suggests that a person is in charge of the situation. He is aloof, seemingly detached, in a state of alienation from the body. An offender plays it cool to keep "the Man" from knowing what goes on inside him because, if he should allow himself to be known, he would be vulnerable. Finding the key to this kind of behavior is what the staff of a community residential center is engaged in daily.

The following anonymous writing is applicable to many offenders:

I hope you won't be fooled by me for I wear a mask.
I wear a thousand masks, masks that I'm afraid to take off,
and one of them is me.

I'm likely to give you the impression that I'm secure,
that confidence is my name and coolness my game,
that the water's calm and I'm in command and that I
need no one. But I hope you won't believe me.....

The nearer you approach me, the blinder I may strike back.
It is self-defeating but at the time it seems the safest
thing to do. I fight against the very things that I cry
out for. But I am told that empathy is stronger than walls
and therein lies my hope. I desperately want you to understand
me in spite of my distancing tactics.....

In contrast to the individual who plays it cool is the one who is so ready to defend his position that he is in jeopardy of being penalized. An Ohio Reformatory prisoner, Barbara Baker, believes standing up and speaking for herself is the beginning of womanhood.

Just because you have a number, why throw away
your pride? I'm in prison night and day but for
twenty-four hours a day God has given me the
courage to be a woman....Someone says something
I feel isn't right, I'm gonna stand up and let
them know this. I'm not going to say, "Yes, Ma'am,
you're right." That's another ounce of pride from
your womanhood. And that's basically all we have.

In most criminal justice settings, this type of self-pride would be seen in insolence and disrespect. It takes a staff that has it "together" to appreciate the characteristics of this type of woman. Being in touch with one's own value system is essential if a person is to avoid the trap of withholding approval for such seeming non-conformance to the traditional feminine role of docility.

Imagine further than this woman is a homosexual and is openly professing her sexuality within the community residential center setting. Will she be accepted as the person she is, or will the center be unable to withstand the ramifications of such self-disclosure and, therefore, be compelled to banish her from the program?

A treatment program which purports to address the total growth of clients would support a concerted effort in issues such as personhood, heterosexuality, homosexuality, venereal disease, masturbation, abortion and family planning. Such issues touch almost everyone's life, and clients are entitled to the most accurate information available, free from personal judgments, biases and staff values. These issues are intertwined and interlaced with one's self-concept and the, therefore, impact behavior.

In many ways, society is an enemy and leaves offenders broken and disabled, unable to separate the truth from myths. Offenders need community residential treatment center staff who are able to see that separation clearly and to free the creative potential of each person. This means allowing the person to be who he will be rather than merely to adjust to society and to others' value systems. This means supporting the offender as a person, even if that includes homosexuality or living by cultural mores not sanctioned by society in general, provided he is not breaking the law.

Entertaining the concept of a fully functioning, successful ex-offender, successful in living life as a whole person, free from crime and from hostile, aggressive, irrational behavior, is, for many people, imagining the impossible, believing in the unimaginable.

How can a transformation from failure to success occur when a convicted criminal, however, potent, is classified as an object, a non-person; when he is reduced to a statistic on paper, to a number rather than to a person? Not all offenders going through a community residential center will change--only those will who wish to partake in an apprenticeship in living as whole persons and in changing their life-styles.

Famous persons, such as Johnny Cash, Freddy Fender and Muhammad Ali, have made the transformation, but also have numerous other individuals with not so famous names.

Expectations and caring are key ingredients in change. It is essential that a center staff care enough to set expectations which will push the offender into personal growth and a responsible life-style.

Certain groups of people have always been considered inferior and, because they have been treated so, they acted inferior and confirmed the expectation of those who did the predicting. To illustrate this point, let us look at a research experiment done in education.

The Pygmalion Study was done by a group from Harvard. The participants told the teachers in a South San Francisco school that they were doing a study of intellectual spurts and that such spurts occur in everyone's life. The group administered a test, the "Inflected Acquisition Test," which, they said, would identify the "spurters." What they gave was an old out-of-date IQ test, and they they threw it away into the garbage. They selected names of students at random and told the teachers that these would be the "spurters". The teachers were incredulous at some of the names, but at the end of the year, all of the kids picked to spurt, spurted. The deciding factor was in the teachers' minds.

What does this study tell us? If you expect something from someone and give him caring and attention, you will more than likely get the expected result. If you say it can't happen, then, in all probability, it won't.

What this means for us in community residential centers is that we have much to teach, to share and to give, and we are not merely maintaining a facility which gets people into school or finds them jobs. We have the power to provide experiences which allow an offender to come closer to what he has the potential of being.

Eliciting change through caring and expectations is not an easy task, as the offender will continue relationships with friends and relatives from the past who also have expectations of what he will become. There will be a continual struggle between forces. Since the offender spends only a few months in a community center, it is imperative that there be a follow-up program to give support for any change which is occurring. Until a person becomes fully functioning individual, expectations from without have more impact than do those from within.

It is relatively easy to live up to new expectations and to take a new self-image as long as all is going well. However, when things begin to go wrong, the tendency to revert to old ways of coping and looking at oneself is strong, because the new way of being has not yet been assimilated into the self.

We are very complex individuals, and this presentation has been a rather simple way of looking at change. There are no simple solutions for the offender in his search for self, and it is necessary that there be support and encouragement for the change as it takes place. Nothing is so important as people. If we keep that thought in perspective, then the impossible can become the imaginable.

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MUTUAL AGREEMENT PROGRAMS: CONTRACTING FOR CLIENT CHANGE

J. Brian Riley

Contracting with clients for desired behavioral changes and services to assist in achieving these changes is not a new idea. Verbal and written contracts have been used by psychologists, psychiatrists, social workers, educators, correctional counselors, parole board, etc.

The foundations for such an approach are supported by the results of learning theory focused on behavior. Essentially, someone is rewarded for behaving in a desired manner. These rewards are frequent, and occur in a progressive manner, starting with small accomplishments to ever more complex accomplishments. For maximum reinforcement, the rewards must occur immediately after a goal is reached and be commensurate with the desired behavior achieved. Rewards presented early or late will render the process useless and result in traditional manipulative behavior between a client and counselor. Lastly, punishment is not involved in this approach. Individuals receive the benefits agreed to when they have fulfilled the task called for. If the task is not accomplished or the behavior is viewed as negative, the rewards are not given, and whatever would normally happen, due to such behavior should be allowed to occur. No excuses for not living up to the contract are acceptable, and an intensive one-to-one caring relationship is central to the process.

Reality Therapy, developed by Dr. William Glasser, is probably the most popular form of contracting with clients in use today. However, social workers have used contracts for some time, and the concept of contingency contracting has also been used in classrooms and with offender populations.

In 1974, under the leadership of Leon Leiberg, the American Correctional Association began the Parole-Corrections Project. This project developed, implemented and evaluated the Mutual Agreement Programming concept with a number of state Department of Corrections and Parole authorities. Simply put, M.A.P. is a legally binding, written contract, usually between an inmate, the department of corrections, and the parole board. The inmate agrees to complete a specific program of vocational self-improvement; the department agrees to grant him access to the educational, training and counseling services specified; and the parole board agrees to release the inmate on the specified date if he fulfills the terms of the contract.

The central concept is that probability of behavior depends upon its consequences. If the consequences are positive, i.e., furloughs, late curfews, work assignments, etc., it is more likely the behavior will repeat itself. Consistent and continuous positive consequences for contracted desirable behavior can provide the vehicle for learning socially acceptable behavior. This approach was demonstrated by Ayllon (1968). These experiments showed that reinforcement had to be contingent upon the completion of the desired performance. High level performance was maintained only if the reinforcers occurred immediately after completion of the performance. If reinforcement occurred at any other time, performance levels decreased substantially. Any consequence which acts to increase the probability of a desired response is a reinforcer.

In addition, David Premack (1965) postulated that high probability behavior will reinforce low probability behavior. For example, curfew privileges in a halfway house (high probability) for writing up a M.A.P. contract with the program (low probability), having visitors (high) after your detail is done satisfactorily (low).

In 1975, Massachusetts Half-Way Houses, Inc. opened 699 House, using the M.A.P. process. 699 House is operated under a three-party agreement between the Massachusetts Department of Corrections, the Massachusetts Parole Board, and M.H.H.I. Essentially, the agreement provides for approval by the Department for pre-release placement of inmates who have been granted parole reserve dates by the Parole Board, subject to the completion of contract performance goals negotiated at the Halfway House.

The program is divided into pre-release and post-release components. Ideally, a resident is paroled after the sixth (6th) week, or upon achieving the goals contracted for in the first week of the program. The contract is then updated to expand upon achievements already attained, and, more specifically, to plan for the residents' leaving and assuming more control over their own lives.

The program was established to primarily serve state inmates who do not meet the criteria for other pre-release programs, are considered high parole risks, and probably have a substance abuse history. Basically the program operates as follows:

Resident Contract

As mentioned earlier, residency at 699 House is composed of two major parts: the initial pre-release phase and the concluding parole phase. During the pre-release phase, which ideally consists of the first six weeks prior to the Parole reserve date, the primary objective is the fulfillment of those re-

quirements necessary to achieve community reintegration. To accomplish this, residents will be expected to participate in several preparatory activities.

a) Needs assessment: In order for each resident to make maximum use of the 699 House program in developing a new life style that will keep him in the community, off drugs, and out of prison in the future, it is essential that he first identify what type of behavior led in the first place to prison. During the first week of residency, each resident is to identify these previous behavior patterns and, with his counselor, develop short and long range plans for changing them. The resources, services and skills needed to implement the plan are also identified at this time.

b) Contract: By the end of the first full week of residency, each resident is expected to have completed the needs assessment, planning, and resource identification process. These elements for developing a new life direction are then combined into the resident's written contract with his counselor and his Parole Officer. This contract is to be mutually agreed to by all three parties, and specifies the comprehensive plan for a successful community reintegration. The contract includes the individual's goals, the time frames and the responsibilities of each party for achieving these goals. As stated, the primary goal of the pre-release phase is the transition from pre-release status to parole status on the Parole Reserve Date. Therefore, each resident's contract must take into account the specific conditions established by the Parole Board for gaining release on this date.

c) Contract Implementation: During the pre-release phase, each resident is expected to implement the initial portions of all aspects of his contract. Typically, by the end of the fifth week of residency this will include:

- 1) placement in a full-time employment, education or vocational training program, or any combination thereof;
- 2) the beginning of a responsible financial management program which is to include a weekly budget and savings process, the development of a plan to establish a sound credit rating, and the responsible handling of other financial obligations (e.g. support, or restitution of payment, ect.);
- 3) maintenance of a drug free condition;
- 4) the initial development of new peer group relationships through the identification and use of constructive social activities - where appropriate, the beginning of re-establishing responsible family or marital relationships and the identification of ways in which the resident can make a contribution to the community to which he will return (e.g. volunteer work, etc.); and

5) the responsible fulfillment of internal program responsibilities.

During the pre-release phase, the residents program and community involvement revolves around his counselor. With the assistance of his counselor, each resident will have significant freedom in developing and implementing his community reintegration contract. Since freedom requires responsibility, in order to make a successful transition from pre-release to parole status, each resident must consistently demonstrate responsible behavior and progress as specified in his contract.

The second phase of residency consists of the amount of time remaining in the individual's three-month program, following this transition from pre-release to parole status. During this second phase the resident's participation in the program shall reflect the additional freedom he assumes for his own behavior as a parolee in the community.

The focus of the individual contract shifts toward further strengthening of the resident's vocational program, financial management, and community ties. As needed, the contract may be revised to reflect the transition. At minimum, a specific "leaving plan" must be added to the contract to identify the proposed residence and on-going sources of support in the community.

Although the 699 House counselor remains actively involved in assisting the resident, the responsibility for determining the limits of his behavior in the program and in the community rests with the resident. Each resident in the parole phase is expected to exercise his own internal controls in assuming responsibility for such issues as his use of time, money and mobility, subject only to discussing and informing his counselor of his plans, decisions, and whereabouts. Only if a resident's behavior becomes so irresponsible as to constitute potentially a violation of parole conditions shall this responsibility again be assumed by the counselor.

Those resident who have made significant progress in achieving most, but not all, of their contract objectives may be eligible for increased responsibility through participation in "Out-Residency". As with any revision of the individual contract, all three parties to the original contract must approve participation in this portion of the parole phase of the program. In brief, participation in Out-Residency is limited to the final four weeks of residency, and involves a resident's living in the community while fulfilling all the normal obligations of a 699 House resident (excepting those which directly relate to

the physical facility such as detail obligations). Any participant in Out-Residency may request readmission to the facility, or may be requested by his counselor to request readmission if his behavior in the community appears to be endangering his parole status.

A copy of the Resident Contract is presented on the following pages.

MUTUAL AGREEMENT PROGRAMMING CONTRACT

INTRODUCTION

The purpose of this sheet is to assist one in understanding the contracting process.

C O N T R A C T

The conditions of the contract, and the commitments made by and between the Resident, the Program and the Parole Officer are explained in Parts I, II, and III.

The Resident is responsible for completing the following two sections of the contract by the time he and his counselor meet to finalize the agreement at the end of the Resident's first week. This way the Resident is able to outline his own individual program at 699 House.

Part IV- RESIDENT'S OBJECTIVES AND TIMEFRAMES

The Resident is to outline the specific goals he wishes to attain in the areas mentioned; how he will pursue them; and by when he plans on achieving these goals.

Considering that the 699 House Program is 12 weeks, and, ideally, the Resident is paroled at the end of the 6th week, some timeframe guidelines are as follows:

- A. 1. Employment -within 4 weeks after arrival date
 - 2. Vocational Training-optional/if needed
 - 3. Education -Optional/if needed
 - B. 1. Budget Responsibilities - upon receipt of 1st paycheck
 - 2. Savings - weekly - upon receipt of 1st paycheck total - by completion of program
 - 3. Credit Building - secure loan when allotted amount is saved, repayment by completion of the program
 - C. 1. Family/Marital Relationships-by 1st or 2nd weekend.
 - 2. Peer Groups- by one week after full time employment
 - 3. Social Outlets - by one week after full time employment
 - 4. Community Residence - by 8th week of program
 - 5. Volunteer Work - 2 weeks after full time employment
 - D. Other (Please refer to Program Standards as indicated)
 - 1. Urinalysis Responsibilities -pg. 7, sec. p
 - 2. No Resident of 699 House will borrow from, nor lend money to, any other Resident of 699 House.
 - 3. Obligations -pg. 5, sec. d; pg. 6, sec. f & g; pg. 7, sec. j.
 - 4. Development and earning or denial of Program Related Activity Time (PRAT)
- Ongoing, beginning date of contract.

Part V- PROGRAM SERVICES AND TIMEFRAMES

Using his own objectives and timeframes as in part IV, the Resident is to outline the assistance and guidelines he expects from the program to help him achieve his goals (i.e. referrals to various agencies, information of available resources).

RESIDENCY CONTRACT

INTRODUCTION

On this day of _____, 197____, the contract contained herein was agreed to by _____, the _____ program, and the Massachusetts Parole Board representative. This contract defines the mutual responsibilities of each party in developing and implementing an individualized program to assist _____ in making a successful reintegration to his community.

PART I: RESIDENT

I, _____, understand and agree to pursue and achieve the objectives identified in Part IV of this contract. I understand and agree that if circumstances significantly change, I may petition for a renegotiation of this contract. I will make every reasonable effort to achieve my stated objectives, and realize that my failure to do so may be cause for cancelling or renegotiating this contract.

PART II: _____ PROGRAM

I, _____, representing the _____ program, understand and agree to provide the counseling, resource development, referral, and other services identified in Part V of this contract. I understand and agree that if circumstances significantly change, I may petition for a renegotiation of this contract. I will make every reasonable effort to provide the services stated, and realize that my failure to do so may be cause for cancelling or renegotiating this contract.

PART III: PAROLE REPRESENTATIVE

I, _____, representing the Massachusetts Parole Board, understand and agree that in accordance with the vote of the Parole Board, the above named resident will:

- 1) Receive a Parole Hearing on _____:
 - 2) Be paroled on the voted Parole Reserve Date of _____
- contingent upon the above named resident's fulfillment of the objectives stated in Part IV of this contract and fulfillment of the conditions specified by the Parole Board, I understand and agree to act on behalf of the resident in all matters pertaining to the Parole Board.

SIGNED: _____ DATE: _____

SIGNED: _____ DATE: _____

SIGNED: _____ DATE: _____

RESIDENT:S OBJECTIVES AND TIMEFRAMES

A. VOCATIONAL DIRECTION

1) EMPLOYMENT:

2) VOCATIONAL TRAINING:

3) EDUCATION:

B. FINANCIAL MANAGEMENT

1) BUDGET RESPONSIBILITIES:

2) SAVINGS GOALS (WEEKLY AND TOTAL):

3) CREDIT BUILDING:

C. COMMUNITY SOURCES OF SUPPORT

1) FAMILY/MARITAL RELATIONSHIPS:

2) PEER GROUPS:

3) SOCIAL OUTLETS:

4) COMMUNITY RESIDENCE:

5) COMMUNITY VOLUNTEER WORK:

D. Other: 1. I will give a urine at the discretion of any staff member; 2. I will not borrow from, not lend any money to any resident of 699 House; 3. If I meet all my contract commitments and house obligations (curfews, call-ins, details, etc.) each week, I will expect to receive a week-end pass (if/when available) for that week, as well as subsequent curfew extensions; 4. If I fail to earn my PRAT by not meeting my weekly objectives I will be denied my PRAT privileges and will be asked to perform work in the House during week nights and/or over the weekend; Timeframe for 1,2,3, and 4 are ongoing, beginning.

PART V
PROGRAM SERVICES AND TIMEFRAMES

A. VOCATIONAL DIRECTION

1) EMPLOYMENT:

2) VOCATIONAL TRAINING:

3) EDUCATION:

B. FINANCIAL MANAGEMENT

1) BUDGET RESPONSIBILITIES:

2) SAVINGS GOALS (WEEKLY AND TOTAL):

3) CREDIT BUILDING:

C. COMMUNITY SOURCES OF SUPPORT

1) FAMILY/MARITAL RELATIONSHIPS:

2) PEER GROUPS:

3) SOCIAL OUTLETS:

4) COMMUNITY RESIDENCE:

5) COMMUNITY VOLUNTEER WORK:

D. OTHER

Because of the out-residency component available to paroled residents, the program can serve on any given day, more than the fifteen men it can accommodate in-house. In 1976 the program released sixty-nine (60) residents. The typical resident was 26 years old, Caucasian (57%), single (77%), unskilled (77%), and has completed 10th grade. He has a substance abuse problem (84%), and has been arrested 4-6 times as an adult (42%), and has been incarcerated twice previously. The highest percentage of successful completions is in the 30-39 year old group (94%), with the 25-29 old group next (78%). The 17-19 year old group was the least successful with 67% unsuccessful.

Over all program performance for 1976 shows 71% (49) successful program completions. Those successfully completing achieved the following M.A.P. contract goals:

A. Full time vocational placement	100%
Employed	97%
School	2%
Vocational Training	4%
B. Accepted for vocational training by the state voc-rehab agency	37%
C. Participated in upgrading their vocational skill while in the program	37%
D. Savings	\$442 (average)
E. Established Credit	35%
F. Participated in outside therapy	50%
G. Did volunteer work in the community	47%
H. Participated in out-residency	63%
I. Relocated to a new neighborhood upon program completion	82%

For the unsuccessful releases (29%) the average time spent in the program was 16 days; 35% attained vocational placement; 5% were accepted for training; 5% upgraded their vocational skills; average savings was \$35.00; 25% participated in outside therapy; and 5% did community volunteer work.

The results are very encouraging and approval for another year's funding has been granted to continue demonstrating this M.A.P. model.

The substance of the M.A.P. model is:

1. Open Negotiations. Although the program establishes broad categories, the resident is responsible for defining specific goals to be achieved within those categories. This provides the resident an opportunity to express his needs and desires fully in planning his program of reintegration. However, contrary to institutional M.A.P. programs, a reserve parole date is arbitrarily established before a contract is agreed to. It was felt that this highly desired consequence would provide strong motivation for developing contracts within the first week. Also, as stated earlier, Ayllon's studies support the use of positive consequences immediately after completion of the performance. Having parole occur halfway through the program not only provides strong support for developing positive behavior to achieve parole, but also reinforces continuing the desired behavior for the final program phase leading to successful completion. In 1976 only two (2) of the residents who reached the parole phase failed to successfully complete the program.

After developing his contract, the resident presents it to his counselor for his reaction. Differences are negotiated and mutually agreed to. The counselor includes all of the resources available to him in his portion of the contract. The resident not only participates fully in developing his program objectives but directly negotiates any differences with the program decision maker most responsible.

The negotiated contract is then presented to the program director for final approval. After this approval, the Parole representative agrees to monitor the resident's performance and ensure that parole papers are executed on the stipulated date if the goals are achieved.

2. Binding Contract. The contract is binding on all parties involved and cannot be altered without the mutual agreement. Such an arrangement assured the resident that performance accountability is just as binding on the counselor and Parole authority as it is on him. Under these circumstances, the resident has the vehicle for demanding the specific services promised at the appropriate time. If significant services are not provided as stipulated, and this prevents the resident from attaining his goals, he is still entitled to be paroled on the agreed upon date.

3. Concrete Measurable Goals. The contract must be stated in concrete terms not subject to interpretation. For example, the contract might call for the resident to follow up a minimum of four (4) job leads a day, two (2) of which are to be provided by the counselor, until full time employment is acquired in X trade.

Another goal could be to save 20% of his net income and have \$300 in savings by the end of the program. The counselor would be responsible for helping the resident develop a workable budget to be reviewed weekly and modified appropriately; open a bank savings account, and check the bank book weekly to monitor the resident's progress.

Subjective goals such as the resident will "try very hard" to follow up four (4) job leads a day render the M.A.P. contract unworkable. Who can determine if the resident "tried very hard" but was only able to follow up two (2) job leads?

4. Specified Parole and Program Completion Dates. In the model described, the tentative parole date (6 weeks) and program completion date (12 weeks) are stated before the contract is negotiated. This eliminates the usual anxiety associated with unknown release dates, and increases the resident's motivations toward a known and obtainable objective.

The M.A.P. process contain six components. Those are;

1. Orientation
2. Pre-negotiation
3. Negotiation
4. Monitoring
5. Renegotiation
6. Completion

Orientation

In the 699 House model, inmates referred by the Parole Board for the program are interviewed within ten working days at the institution by the Program Director. During this interview the inmate is given a copy of the program standards, a blank contract, and an agreement form to sign if he wishes to participate in the program. The program standards are explained in detail, and it is made clear these are non-negotiable program conditions.

Next the contract form is reviewed. The inmate is told that if he signs the agreement form he is expected to begin drafting his contract goals and the services he'll need from his counselor to attain the goals.

Finally, the inmate is told that if he returns the signed agreement form to the program, a decision will be made within five working days if he is to be accepted, and if so, when he can expect to be transferred to the program.

If the inmate rejects the program, he then proceeds with regular institution and parole procedures without penalty.

If accepted, the inmate is informed that he is expected to work on a draft of the M.A.P. contract which will be reviewed upon his arrival.

Pre-Negotiation

This component takes place after the inmate is transferred to the program. At their initial meeting the resident and his counselor review the draft of the contract developed at the institution. Pre-negotiation is considered the most critical phase of the process because it allows for input by all parties: a) needs assessment conducted by the resident and counselor. b) identification of program and community resources available to the resident in achieving his goals.

c) support for realistic goals within program time frame. d) parole expectancy. e) an opportunity for the resident to state what he wants to accomplish for himself and f) the help he needs from his counselor to do so.

As this is a long and detailed process, residents are required to spend all of their time in the facility until a contract is finalized. Counselors are not permitted to write the contracts for residents, but they and all staff are available by appointment to the resident during this process. In the evening other residents may also be available for advice and guidance.

When the resident believes he has a workable contract, it is reviewed with his counselor. Differences are negotiated face to face and, hopefully, reconciled. Both positions of any unreconcilable differences are included in the M. A. P. proposal and presented at final negotiations.

Negotiation

Final negotiation takes place between the resident, counselor, Program Director, and Parole Representative. The M.A.P. proposal is reviewed item with specific rationale given for each item. Changes can be made and agreed to at this session. If irreconcilable differences exist, the Director attempts to negotiate a compromise. If compromise is not achieved, and the differences do not violate stated program policy, they must be resolved in the resident's favor. All goals must be stated in objective, measurable behavior terms with specific time frames for their attainment.

If agreement is not reached, the proposal is returned to the resident and counselor for further development. Hopefully, this can be completed in a brief period of time, after which negotiation is rescheduled with the Director. If a contract cannot be agreed upon, the inmate is returned to the sending institution without penalty, to continue institutional progress towards his regular parole hearing.

Monitoring

After the contract is signed by the three parties, it becomes the responsibility of the Director to monitor the progress of the resident and counselor in achieving the contract terms. Careful monitoring assures the timely delivery of promised services to the resident; can identify and, possibly, correct problems before they become critical; identify contract violations; and certify goal attainment.

The counselor is responsible for reporting weekly to the Director, in writing, on the progress made towards the objectives. Information on services or activities in the community must be verified by the counselor. The report is a simply outline manual system. Counselors are not allowed to interpret or change any part of the agreement.

Renegotiation

Renegotiation provides for flexibility in dealing with any number of situations. It is initiated at the resident's request, or because of a contract violation. Some of these situations are created by unrealistic goals, staff failure to live-up to performance standards. Renegotiation must occur for each contract violation. If performance failure is the result of poor staff effort, residents should not be penalized and should receive whatever benefits they would have been entitled to by that time.

If performance failure is the resident's fault, more realistic goals could be negotiated, or in serious situations the agreement terminated and the resident returned to the sending institution. Renegotiation takes place in the same face-to-face manner with all parties involved.

Completion

In the 699 House model, parole has been granted prior to program completion, thus reducing the possibility of delay because of paper work associated with release from an institution.

In addition, proposed community residence upon release is checked by the counselor and submitted to the parole representative between one and four weeks before the contracted program completion date.

Because this is a reintegration program, other considerations for a parole plan have already been established through the attainment of the performance goals. Rarely, if ever, should a resident leaving be delayed because of bureaucratic delays.

In summary, the M.A.P. program at 699 House has proven to be workable with a difficult segment of the institutional population. The use of M.A.P. has proven beneficial in increasing the desirable behavior of staff, residents, and parole representatives.

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THE COUNSELOR AS AN AGENT IN INDIVIDUAL

GROWTH AND PERSONAL CHANGE

Carolyn Zimmet

Throughout history, the way one human being has treated another has been related to his belief about the basic nature of man. Such points of view as are expressed by "Man is born neither good nor bad," or "Man is born in sin," create a frame of reference which governs the methods a person uses to deal with others. This is also true of those who work in the helping professions. It is essential, then, that counselors have the most accurate perception and understanding about people that they can acquire.

Much of what we know about people has come from the fields of sociology and psychology and has left us with two broad points of view of how to study behavior and behavior change. The scientific method or "external reference" is that which observes people from an outsider's point of view and was used frequently by Freud and others since the late 1800's. Another and more recent approach is the internal point of view. It looks at behavior and the individual, not as an outsider looking in, but from a phenomenological viewpoint, from the unique inside view of the person as himself. Both methods are useful, and each has its advantages and disadvantages.

One method within the external frame of reference is known as the behavioristic or stimulus response (S-R) method, widely popularized by Skinner. Another much favored movement of the external reference is psychoanalysis. Both make use of an outsider's frame of reference in the observation of man and his behavior.

The force within the internal frame of reference is called the existentialistic or humanist movement and is deeply interested in understanding the nature of man, his feelings, beliefs, desires and values from his own internal point of view, his own experience. This is the method most practitioners, such as teachers, social workers and counselors, find most relevant when engaged as professional "helpers". Here, behavior is understood in terms of the way an individual sees himself. One doesn't have to be an archaeologist, digging up relics from the past, to understand present behavior. If we know how an individual feels about himself, there are ways to help him even though we don't have knowledge of his past. Here, it isn't

necessary to probe or diagnose. Importance is placed on developing a rapport, a relationship in the here and now. This is an individual approach to behavior, one which acknowledges the internal and external struggle a human being deals with in his search for fulfillment. Of primary concern in the struggle is the concept one has of himself.

Self-Concept

Self-concept is an organization of beliefs about oneself; it is the "I" or "me" that is learned as a result of experiences. Some of what we discover about ourselves is learned through interactions with the physical world, but more important are the perceptions we acquire about ourselves through interaction with significant others in our lives. It is as if we carry a mirror around and see ourselves as we perceive others seeing us. We learn who we are, not only by the spoken word of communication, but also by how we are treated. A child learns that he is acceptable or unacceptable through the daily, often subtle, interchanges occurring at home, with friends and at school.

Because of this slow, ever-growing process of learning who we are, there is a high degree of permanence and stability in our self-beliefs as we grow older. Since the self-concept is what one believes about oneself and, since what one believes about oneself plays such an important role in the determination of behavior, we as professionals in the field of corrections must become sensitive to the self-concepts of our clients. We also must become skillful in effecting change in the way they see themselves. As counselors in corrections, we cannot ignore the importance of the role of changing a client's behavior.

Because the self-concept is learned, it can be changed. This fact provides the premise upon which community corrections depends. The purpose of the counselor is to assist offenders in exploring and discovering more positive and effective relationships between themselves and others. New perceptions of the client's self are learned through interactions with the counselor; therefore, the counselor must be an active helper. It is the counselor's use of himself which makes the interaction positive or negative. Some negative attitudes expressed in statements such as, "I can't jog a mile," or "I don't have a high school education," can be changed rather quickly through training. However, fundamental concepts of the self, expressed

in a statement like " I am unloved and unwanted," usually change over a long period of time. Not only must a counselor have patience, but he must also be willing to act as a role model in exposing the self. A client, like all of us, must be able to communicate his fears and frustrations, expose his values, share his loves and triumphs before he can be sure who he is and what he is capable of becoming. Through the basic trust established with a caring, knowledgeable counselor, the client can come to expose himself enough to being to know who he really is.

Intimacy is earned. If I am to trust you with the treasures I hold inside me, I must first ascertain if you are capable of handling that information with care. This trust sometimes takes from six to eight weeks or longer in the halfway house setting. The time it takes to establish trust is less important than the fact that trust does develop between client and counselor. Without a basic trusting relationship, the client will be reluctant to disclose himself. It is difficult to look at parts of ourselves which are less than we would want them to be, and understanding is needed when we examine these shortcomings. An effective counselor treats this information with the preciousness it deserves. (It encourages the client to be who he is rather than to be a contrived self. This knowing who one is, is one of the ingredients of becoming a whole person.) In spite of a client's seeming unwillingness or reluctance to tell a counselor who he is, there is a deep desire to be understood. Each of us is a continually evolving person, so the telling is never done. Self-disclosure cannot come solely from the client. The counselor must also continue to share who he is. It is through this mutual exchange, this mutual sharing, that counselor and client come to know each other and, ultimately, themselves.

Since growing never ceases, the knowing of oneself and of others is never complete. A person is constantly in a state of becoming, of discovering new facets of himself. Through this discovery he then perceives others with new eyes. The more a person is aware of who he really is, the more accurate his perceptions become; the closer he is to have 20/20 vision because he doesn't have to view what is through a facade. "Seeing" what is, is distorted if done through faulty viewing, and accurate perception is often a distinguishing factor between counselor and client.

When a client has buried his emotions, his secrets, they are buried but are very much alive. It has been said that we either talk about our feelings or we will act them out. Part of the acting-out process is manifested in headaches, allergies, common colds, aching backs and in ways not related to health, such as acts of violence. When we fear or don't trust others enough to express our emotions because we are apprehensive of being rejected or punished, we not only build relationships on untruths but we set the stage for ill health.

A counselor, through patience and also by being a good role model, can allow a client to sort out the parts that are truly himself. Through this knowing and accepting of who he is, a person comes closer to becoming a self-actualized human being.

Self-Actualization

To become an effective change agent, a person must do more than think nice thoughts. Good thoughts must be somehow translated into behavior if they are to be effective. Counselors, over a period of time, learn to be positive impactors. Just as a client's growth takes place gradually, so too does the counselor's. Techniques of counseling can be learned rather quickly; however, the process of becoming a person with 20/20 vision is more time consuming. If a counselor is to impact another, he must have better discrimination skills than the person he is helping. These skills of discerning "what is" from "what appears to be" or "what one wishes them to be" is a characteristic of the whole person. This is the kind of person Maslow calls the "growing tip" and Rogers calls the "self-actualizer."

It has been stated by several client-centered therapists that the drive toward self-actualization is a primary one, meaning that human beings would rather be better than worse.

As clients begin to move in the direction of personal growth, several things begin to change. They tend to move away from facades, to become real and genuine. Many of the "oughts" and "shoulds" they have been carrying around as excess baggage turn into, " I will do this because I have selected this choice from the options available rather than because it meets the expectations of others." When a client is clearly made responsible for himself, he becomes more responsible and discovers, with increasing confidence and pride, that he is capable of making positive realistic decisions.

Also, as a client moves toward being a whole person, he becomes more sensitive to others and more accepting of himself until, finally, he is able to achieve and to value close intimate relationships.

The fully functioning, whole person can be measured in terms of his behavior by asking such questions as: Can he act as the person he is rather than as something he is not? Can he reduce the barrier between himself and others? Can he listen acceptingly to himself? Can he allow himself to accept another person? Can he trust his experience? Can he believe that persons have a basically positive direction? Does he believe people can change? We can measure where a person is and we can measure these same areas after a specified time has lapsed to see if there has been any change.

The Counselor as a Teacher

Almost anyone who counsels teaches also. To be a guru with all the answers which just come out at will can be a separating experience for counselor and client. No one can identify with someone who is perfect, who has all the answers. Additionally, if a client is to change and to continue to make good decisions, he must have a means of learning how to manage his day-to-day living when a counselor is not present. This would mean that there is a system or a structure he could learn which would upgrade his skills in many areas of living.

To be helpful, a counselor would actively involve his client in a program which would: (1) allow him to talk about and explore reasons for his current behavior; (2) allow him to set goals for improved performance; (3) allow him to try out and practice new ways of behaving, and (4) provide feedback to him on the effectiveness of the new behavior.

The process would be one of identifying the problem, of exploring the problem, then of understanding the problem and last, of formulating an action plan to solve the problem. By teaching clients to solve their own problems, a counselor is allowing them to control their own destinies. This method also teaches responsibility. The client becomes responsible for all his choices and for the consequences of those choices.

It is important that a counselor know, not only how to help clients to change, but also how to be able to transfer that knowledge into a systematic program which the client can understand and utilize to generalize the experience into other situations. It would allow the client a means of acquiring the knowledge necessary to accomplish a specific goal and, through practice of this systematic way of reaching goals (solving problems), he would be able to plan

attainable change in his life. It is not enough to be a good counselor. To be an effective counselor, one must also be a teacher. This, in effect, is a part of being a self-actualized person and of teaching a client the skills necessary for attaining the goal of self-actualization.

Change

As mentioned previously, change does not happen overnight, nor is change easy. First, a climate of trust must exist in order that clients may have the freedom necessary to try new things. Since a counselor will be giving a client feedback as he tries out new behavior, the climate must be non-threatening and caring, so that the client will not feel that he is being criticized or evaluated negatively. He must be allowed the latitude to make mistakes and to learn from them.

It will be much more difficult for a client to retain his newly acquired skills after leaving the halfway house than it was for him to keep them and use them while he was still a client in the house; therefore, a follow-up program is necessary in overall planning. Hostile forces will be ever-present in the environment, and the threat of those forces can divert the client from being and communicating what he would if he didn't feel threatened.

Support can come in various ways, from the structured once-a-week return to the group for individual counseling sessions at the residential community center to scheduled recreational outings and spontaneous phone calls. No matter what method is used or what time of day or night it is, it is always essential to be an accepting, caring role model. Being accepting and caring can mean becoming angry and displaying that anger, as well as being happy and loving. An accepting, caring counselor is one who is real, not a phony playing a role. Be a person the client can identify with, not a perfect guru, but a real person who makes mistakes. Clients need to learn that it is okay to make mistakes, that making mistakes doesn't make them bad people.

In conclusion, perhaps the definition of a counselor would be, as one of my college professors used to say, "one who teaches uniqueness in others." Being a counselor is learning how to be unique as a person and, finally, how to share it with others so they, too, can learn the ways of a fully functioning human being.

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FEMALE OFFENDERS:
Dealing with Differences
in Community Corrections
Patricia Ann Squires

In 1975 the United States Department of Justice, through L.E.A.A., funded a national study of women's correctional programs that included 36 community correctional centers, 16 state prisons, and 46 county jails. Out of that study, statistics show that: (1) 2/3 of the female offenders interviewed were under 30 years of age, (2) 45% had not finished high school, (3) 73% had children, and in only 10% of those cases were husbands involved in child care, (4) 56% were welfare recipients, and of that percentage, 33% were welfare recipients as children, (5) only 40% worked in the two months prior to their arrest, and (6) of those with vocational training, their skills were in clerical, cosmetology, nurse aides, and the paramedical services.

In a 1976 survey by the Female Offender Resource Center of community corrections programs, representing 6200 female offenders, three major problems were isolated. The most prevalent problem for 84% of those surveyed was lack of job skills. Lack of education was the second most important deficit area and the third was a combination of difficulty in arranging child care, readjusting to family life, and coping with prejudices.

Still another survey of 85 program directors of community corrections programs serving female offenders, the support services necessary for their residents were prioritized as follows: (1) personal and psychological counseling, (2) on-the-job training, (3) survival skill training, (4) employment counseling, (5) educational opportunities and vocational training, (6) child care assistance and help in meeting other responsibilities, (7) drug abuse services, and (8) housing referral.

Consistencies in these studies, and my experience in community corrections programs dealing with female offenders, show that the female offender is young, is a mother, lacks vocational skills, lacks good work experience, has depended on welfare income for support, lacks a high school education, and has a poor, "loser", self-concept. Be aware that there are exceptions to these consistencies. I'm speaking to the issue of female offenders as an overall group. And, the female offender could be at a deficit in only one of those areas. Speaking to these con-

sistencies, they are the problem differences that for the female offender, need to be addressed during incarceration and/or before release.

The criminal justice system (the prisons, county jails, isolated institutions) has little expertise in the areas of motherhood, vocational training, job development, financial and individual subsistence, formal education or mental health. For the criminal justice system to provide expertise in one or all of these areas for female offenders means costly duplication of existing expertise in the community and segregation of female offenders from the community. These are two issues which promote community corrections for both the female and the male offender.

The female offender is young and a mother. Eighty percent are mothers and average 2.78 children each. In sixty percent of cases, the children are dependent on them for care.

I want to drop the statistic quoting for now. Lets look at an individual case. We have before us a female offender who is a mother. Our goal is to rehabilitate, to reintegrate, to make her responsible, if you will, to help her back into the community.

It is costly to do this in isolated programs, and since the expertise lies within the community, our goal is to tap the resources of the community in order to improve the lifestyle of the female offender so that she will not become a recidivism statistic, but will instead, be a responsible, self-supporting mother and/or individual.

Not every woman is a candidate for community corrections programming; some need to remain in prison, costing the state from \$18 to \$23 per day for care and custody. If there is reason that the community has something to fear from the female offender, she should be contained within a prison. If there is no reason to fear her, reintegration through community corrections programs should happen without delay. For the woman who wishes to improve herself and her lifestyle, the criminal justice system needs to make available the community program which will support her. I'm not eluding to financial support, but support of a positive nature that will help her to explore her deficit areas, and will direct her to services within the community to aid in improving these areas.

For the woman who is a mother, the prison provides isolation from her family and children. When a woman is incarcerated and there is not other parent around, the children are uprooted from the home. Also, frequently the father who is there

is employed and/or unable to care for the children on a daily basis. The children are taken out of the natural environment of their home, and their mother is gone. That's frightening. Who then is the victim of a crime? If the mother is isolated by the system, the system must assume this responsibility. This is again costly, both financially to the state and emotionally to the children. Children need to know where their mother is, why she is gone and when she will be back. If the child cannot comprehend or understand the answers to these questions, the feeling is rejection for them, and that is an emotional scar that is hard to erase.

On the other hand in a community program: the mother is near; she's getting herself together in order to be a positive role model for her children when she does get out; and she's improving her skills as a person, parent, and supporter, by being in the program and plugging into the community. The child knows where his mother is, why she is there, when she'll be home, and that things will probably be better when she returns. And just as important, the woman is assuming her responsibility as a mother, by improving herself and preparing to be a provider for her children.

If prisons and community corrections programs would, in any way, be improved, it would be to provide space for offenders to be with their children.

The female offender before us is lacking in a formal education. She lacks a high school education and needs one to improve her self-concept and gain employment.

In a community correctional program, the female who lacks general education has educational classes available in the community, either in tutorial programs, job service programs, or adult education classes. The opportunity for her to obtain her General Educational Degree is available and at no cost to the program. (A prison can also duplicate a high school education and provide general educational services, but it is more costly than in the community.)

The self-concept of the female offender is greatly enhanced when she completes the G.E.D. A sense of accomplishment and satisfaction in completing an education she gave up previously, dropped out of or thought to be unimportant at the time, is gained at this point. The step of improving herself as a person is commensed.

The female offender before us is expected to be employed and/or supporting her 2.78 children when she gains parole or probation. For the woman who has found the man in white shining armor, and that man is waiting for her when she leaves prison, her worries are only how to keep him. But for the 80% with children; the

60% who were on welfare before they were busted; and the 60% who were unemployed before arrest, employment isn't only a necessity, employment is a new experience for which their skills are minimum, their opportunities for success are limited, and for which the real world of employment could be a devastating experience.

It's a natural role that men work; that's the accepted grown-up world. However, for females, especially mothers, employment has been a pasttime. Paychecks have been a good supplemental income and training and opportunities for employment have been in the traditional line of work, such as clerical, cosmetology, nurse aid, and paraprofessional.

The female offender needs vocational training in skills that: (1) she has an interest, (2) a market exists in the employment field, (3) a future will be open for upward career potential, and (4) average wages in a particular field will support her and her dependents without her resorting to either crime or welfare dependency.

Non-traditional vocational training for women is now gaining momentum. That's where some women's interest are, but also, and more importantly for the female offender, that's where better wages are earned. Nurses' aides, waitresses, and beginning clerical workers earn \$2.50 - \$2.75 an hour, whereas, construction workers, mechanics, welders, electricians, and professional workers earn \$4.50 - \$5.00 and more an hour. If the female offender has an interest in non-traditional training and employment, the community corrections program needs to explore that with her and help her to realistically pursue her interest and career.

Career is a key word in vocational training of the female offender. Training and employment should be geared to career potential. Dead-end jobs, with only immediate gratification and no future and minimal interest of the individual, will last only as long as the parole or probation. Granted, the interest of the criminal justice system is ended when parole is over, but recidivism rates are of vital interest to us. Dead-end jobs with no future can result in a female offender resorting back to old lifestyles and survival skills, and perhaps with time she will become a recidivism statistic.

Vocational training for the female offender should be geared toward her interests and toward her economic and career stability. If her interest is in becoming a waitress, broaden her perspective to career lines in serving people and/or food service. And, if her interest is in mechanics, the opportunity to broaden her training should be provided.

Again, the cost of traditional and non-traditional vocational training in prison is high and often times inappropriate. Just as making license plates in prison is inappropriate training for men seeking a career, sewing factories in female prisons is also inappropriate career training. These types of work merely pass the time.

In a community correctional program the community provides the situation for vocational training in appropriate lines of interest for available employment. This can be through government funded training programs or through personal businesses providing on-the-job training. The goal is to give the female offender training for career employment that is personally satisfying and economically realistic, in order to meet her needs. Again, improving her self-concept is enriched.

Along with training and employment, the financial responsibilities of the female offender are prominent. With training comes employment, and with employment comes the paycheck. The woman is first responsible to the state for restitution, room and board payment, court fees, etc. Her next responsibility is to her future and building the nest egg in savings for the time she will leave the program and will reside in the community. She also is responsible for child care needs if the children are with friends, relatives, or professionals. The responsibility to herself is to improve her self-concept with a new pair of shoes, a new dress, a new hairdo; something for her personal well-being. All these financial responsibilities need to be met with planning and support from the program's staff.

The female offender now has an income; and for 60% of them, earning a paycheck is a new experience, let alone utilizing it in a positive, constructive manner to meet her responsibilities. We are led to believe females are compulsive spenders!! The man makes the money, gives it to his woman, and she'll spend it!! Does the female offender fulfill the stereotype? In the community program, changing individual lifestyles is a goal. With guidance and awareness the woman will change the lifestyle of her past financial habits and create new constructive habits that will meet her needs and those of her dependents in a responsible manner.

The area of medical services and sexuality of the female offender have not been mentioned yet, and I'd like to at this time. My experience with the female offender on a county and state level, both in Nebraska and now here in Montana, has been consistent; that is, if the agency which has her in custody will pay the expense, she will expect, require, and receive medical services. It is the responsi-

bility of the agency to determine if the woman is medically healthy. The state is held responsible for medical services to the female offender. If she were in a community corrections center receiving services, and employed in the community, the responsibility for medical attention could be met by her and not the state or the program. Medical services are costly and a responsibility the criminal justice system could place with the female offender. It can serve as an avenue of broadened personal awareness and responsibility to herself.

In our society the identity of a female is that of mother, wife and/or lover. If a community corrections program concentrates only on vocational training, employment and the economics of living, we treat only parts of the total woman. Her role as a mother I've already discussed; her role as a lover is also important to her.

Homosexuality in a women's prison is as prominent as it is in a men's prison. The differences in statistics are due to overall population size. When access to men is denied, alternative lifestyles for the female offender will be explored and experienced.

The responsibility of the community corrections program is to allow the female a pass or furlough in order to maintain ties with family and other positive support systems, rather than develop those ties with fellow residents. Two losers do not make a winner.

In summary, the community corrections program dealing with the female offender should provide a setting that emphasizes individual responsibility and enables her to become aware of being accountable for her actions. Programs that operate positively encourage personal growth and individual development. Development of an individual program is the most important part. Finally, if the female offender sees herself as different and isolated from the community, she'll play the stranger role. If, however, she is aware of herself as a part of the community and as a positive factor to that community, she will likely become a part of that community.

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PERSONALIZED PROGRAM DEVELOPMENT IN
THE COMMUNITY TREATMENT CENTER

Jim Pomroy

Major models of treatment being utilized in community treatment centers today include the Therapeutic Community, Token Economics, Transactional Analysis, Reality Therapy and Life Skills Training. If we view "helping" from a systematic viewpoint, we see that a certain progression develops in the process. We refer to this progression as the systematic phases of helping and call them the "Exploration", "Understand" and "Action" phases (Carkhuff, 1973). It is not the purpose of this presentation to offer an in-depth survey of all the modalities listed, but rather to briefly overview the highlights of each which have, with some reservation, been placed into a systematic scheme. The primary attention will be given to a part of the "Action" phase of helping, that of program development (Carkhuff, 1974).

The primary means of exploration utilized by each modality are:

- I. Therapeutic Community
 1. Exploration through admission procedures.
 2. Encounter group.
 - a. Motivational testing through heavy confrontation.
- II. Token Economy
 1. Behavioral Observation through:
 - a. Establishment and maintenance of the constructive day.
 - b. Observation of interpersonal skills.
 - c. Center maintenance tasks.
 2. Specify unacceptable or deficit behaviors.
- III. Transactional Analysis
 1. Primary exploration done in groups:
 - a. Client assessed in terms of prominent ego state (s).
 - b. Exploration of life positions.
 - c. Exploration of game playing behavior
 - d. Exploration of life scripts.
- IV. Reality Therapy
 1. Involvement.
 2. Behavioral observation and evaluation.
 3. Behavioral feedback (no excuses).
 4. Assessment of physical condition, style and activities; intelligence and vocational interests.

V. Human Resource Development (Life Skills Training)

1. Attending, responding.
2. Unconditional regard
3. Obvious, accurate empathy.
4. Concreteness.
5. Self-exploration.

If exploration of the problem(s) has successfully been completed both the "helper" and the "helpee" naturally reach a state of understanding in most cases through enhanced self-understanding (ownership of the problems(s) by the helpee.

Though the line between the time when exploration is set aside and understanding is gained is often a nebulous one, it would appear that Phase II (Understanding) tasks are being conducted by the following processes:

- I. Therapeutic Community
 1. Community and client share responsibility or ownership of behavior.
 2. Learning new skills, unlearning old defenses is an interactive process involving all members.
 3. Staff often act only as consultants and evaluators.
 4. Primary mechanism is encounter group incorporating techniques in Gestalt Therapy, T.A., Psychodrama and T. Groups.
- II. Token Economy
 1. Little input into the program by resident.
 2. Understanding commonly gained through T.A. and Assertiveness training.
- III. Transactional Analysis
 1. Understanding gained through analyzing transactions within groups.
 2. Self-understanding gained through teaching of theoretical concepts and application to present behavior.
 3. Utilization of rating scale develops understanding of interpersonal functioning.
 4. Organized feedback exchange enhances self-understanding.
- IV. Reality Therapy
 1. Understanding gained through intense therapeutic involvement individually and in groups.
 2. Client given feedback about behavior and opportunity to assess the impact of that behavior on self and others.
 3. Client decides whether or not he/she is taking a responsible course of action.

V. Human Resource Development (Like Skills Training)

1. Ownership (personalization) of problem.
2. Initiating skills of therapist:
 - a. Self-disclosure
 - b. Immediacy
 - c. Confrontation
 - d. Genuineness
3. Deficit identified through self-exploration facilitated by therapist.

The final phase of the helping process is often vague and incomprehensible to the client or helper even though this is the point at which we can most concretely assess whether or not our intervention has made a significant difference. Carkhuff (1974) offers a means of program development (which some of us may prefer to call "case planning") which goes beyond some of the others and allows both the helper and the helpee to measure effectiveness. Once a goal has been set to overcome or eliminate a deficit through the utilization of interpersonal and problem-solving skills the helpee generally is in need of assistance in identifying a means to accomplish that goal.

SYSTEMATIC HELPING SKILLS
PROGRAM DEVELOPMENT
Developmental Training Outline*

HELPER SKILLS	HELPER BEHAVIOR
State goal in behavioral terms (achievable, measurable, observable)	You feel _____ because you cannot _____ and you want to _____.
State preferred course of action (PCA)	Your PCA is to develop a program to _____ which will enable you to reach your goal.
Develop a preprogram list of needs..... (materials, physical, baseline data, etc.)	First let's discuss the items and data you need before you can begin your programs.
Operationalize the goal by determining the..... primary steps necessary to reach the goal and rank them in terms of complexity, difficulty, or chronological order.	Let's divide your goal into several smaller goals so you will have a better chance to assess your progress and reach your goal.
Develop a program of secondary steps..... for each primary step to achieve each primary goal.	Now let's break down each primary step into the secondary steps necessary to assure you achieving them.
Attach time units to each primary and..... secondary step.	How much time do you think you need to achieve your first primary step. (Second?, third, total program).
Develop check-steps of things needed..... before, during, and after each primary and secondary step. (Think and Do)	Let's look at each primary and secondary step and see what you must do before, during, and after each step to insure success in reaching your goal.
Develop a hierarchy or reinforcement..... schedules for each secondary and primary step in the program.	What you need next are some rewards to give yourself upon the successful completion of each step.
Draw a step chart () to graphically display your program.	Now you draw a step chart to help visually organize your systematic program.

*Adapted from R.R. Carkhuff, The Art of Program Development by Dr. Richard Smith and Franklin Truar, March 1975.

"Thinking and Doing"

The development of a clear step requires some intellectual preparation for the step. Critical confrontations (questions) and specifics are important to success.

In preparation for each step the following questions need to be answered:

Thinking

Before: What do I need to be doing?

During: Am I accomplishing what I set out to do?

After: Did I accomplish my step?

Doing

Am I ready for the next step?

Thinking out of questions will enable you to obtain necessary equipment, readings, and data, etc., to carry out the Do. Do means actually carrying out the answers to think. Do means obtaining what is necessary, assessing progress and assessing results. Think and Do must be applied to each step.

Many times you will find that accomplishing a step is reward enough to keep you going. If this internal type of reward is not sufficient, external means may be used. For example: some reward token can be granted (or taken away) upon accomplishing each step. Increased freedom, privileges, material goods or money, etc., are useful in maintaining motivation to stay on a program. Involving friends or spouses in a program can assist a person in establishing and implementing a reinforcement (punishment) system. As in true in all systematic helping, the involvement of helper and helpee (client) results in the best programs. When used in group settings it can be even more successful since the experience of others can add to the planning of any one helpee. (Blakeman, 1975).

Benefits of utilizing systematic program development with clients:

- (1) Expectations of task performance become clear to the client.
- (2) One can assess movement toward the goal at any point in the program.
- (3) Goals are achieved through client action.
- (4) Problem-solving and program development skills are learned by the client thus enabling him to better help himself in the future.
- (5) We, as helpers, move toward being accountable for what we do to people by being able to specifically observe or measure changes made in the helpee's situation.
- (6) The concept is less concerned with "why" a person is where he is and more concerned with what needs to be done now.

Weaknesses

- (1) The utilization of program development requires a commitment of time and resources which many "helpers" are not willing to make in order to be helpful.

- (2) The development of a personalized program sometimes leaves the false impression that the program is one of "magic" and cannot be changed or altered by evaluating and revising steps necessary to achieve a goal.

SYSTEMATIC HELPING SKILLS*

	Phase I Exploration	Phase II Understanding	Phase III Action
HELPER GOALS	<ol style="list-style-type: none"> 1. Stay out of the way. 2. Make sense out of the mess. 3. Become a significant person. 	<ol style="list-style-type: none"> 1. Personalize Feeling. 2. Personalize Meaning. 3. Isolate Problem. 4. Prepare for Action. 	<ol style="list-style-type: none"> 1. Problem solving. 2. Program development. 3. Implementation 4. Evaluation.
HELPER ROLES	<p>RESPONDER</p> <p>Focus on helpee frame of interest.</p>	<p>INITIATOR</p>	<ol style="list-style-type: none"> 1. Responder-Initiator. 2. Teacher 3. Reinforcer 4. Evaluator
HELPER BEHAVIORS	<p>ATTENDING BEHAVIOR</p> <ol style="list-style-type: none"> 1. Posture 2. Listening <p>RESPONDING BEHAVIOR</p> <ol style="list-style-type: none"> 1. Obvious & accurate empathy 2. Respect for client's feeling 3. Concreteness 	<ol style="list-style-type: none"> 1. ATTENDER, RESPONDER 2. INITIATOR <ol style="list-style-type: none"> a. Confrontation b. Self-Disclosure c. Immediacy d. Genuineness 	<ol style="list-style-type: none"> 1. Problem solving 2. Program development 3. Courage
EVALUATION OF OUTCOME	<ol style="list-style-type: none"> 1. Is there a dominant theme? (What is it?) 2. Is the relationship such to allow confrontation? 	<ol style="list-style-type: none"> 1. Personalized problems or deficit identified. 2. Goal Set? 3. Ownership of problem by helper? 	<ol style="list-style-type: none"> 1. Removal of deficit 2. Goal achieved through helpee action 3. Lasting behavior change 4. Helpee better able to help himself.
CLIENT ROLE	Self-Exploration	Self-Understanding	Self-Action

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