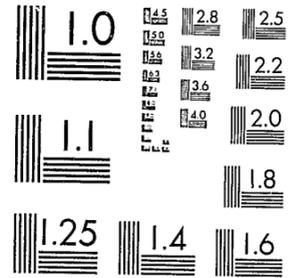


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MANAGEMENT ISSUES AND THE
DEINSTITUTIONALIZATION OF JUVENILE OFFENDERS

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ACQUISITIONS

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Section I

INTRODUCTION

Based on experiences in Utah, this paper describes the management of system-wide deinstitutionalization and the creation of relatively less restrictive placement and treatment options. The intended audience is the manager responsible for a multi-institution/multi-level corrections program. The analysis suggests that a comprehensive management strategy entails the development of four inter-related components:

- A set of policy objectives to guide system performance;
- A political and public relations strategy to legitimize the need for changes within the system, assure access to adequate public and private funding, and to provide vehicles to acquire the support of relevant community leaders;
- An evaluation and resource planning process to assess the functioning and define the range and mix of services to be offered through the system and to create the organizational and structural tools needed to appropriately allocate resources;
- Administrative systems and procedures to assure rational case-by-case management of referral networks, to define (and modify) personnel systems, to administer procurement of services, and to evaluate and promote quality throughout the system.

Throughout this paper we have focused the "administrative" perspective (as opposed, for example, to dealing with deinstitutionalization as an ideological imperative, as a treatment approach, etc.). This emphasis is useful for two reasons:

- Steering a complex, multi-level corrections program through a period of transition is a major management challenge involving a complicated reallocation of resources, personnel and priorities. In an increasingly politically conservative environment with intensifying conflicts for social service resources, a deliberate and efficiently managed method of transition is essential for success.
- The effectiveness of deinstitutionalization efforts must be tested both by the reduction in institutional population and by how effectively the system operates after the trauma of reform. For the reform to maintain continuing effectiveness, the pattern of institutionalization must have been fundamentally altered and the system that emerges must be rationally processing cases, planning and

controlling its resources, managing its people, etc.

Several of the management tools that proved useful in Utah may have application elsewhere. Approaches involving computer-based review of all children in custody, corrections resource modeling keyed to the interactions among various levels of restriction and offense severity, analysis of the differential costs and child-delinquency patterns among competing private vendors, etc. are not often synthesized in the literature. The Utah approaches may suggest methods that can be repeated in other corrections systems.

Throughout this paper, extensive use has been made of experiences in Utah in the late 1970's. This "case study" has been selected to show the immediate practical impacts of various management methods on the functioning of an actual corrections system. This approach is intended to provide a basis for generalized application of the Utah experience and to make the methods of analysis as relevant as possible to practicing corrections manager.

The process of refining and improving a social service system is never really "completed." The Utah system made significant progress in a relatively short time in some areas, continues to work on others, and has failed at some. The relatively small size of the system and the centralization of placement administration and record-keeping facilities make the experience useful as a case study. In what follows, each of the four major components of the management strategy described above is discussed in terms of:

- Its general importance, role, and timing in the reform of a corrections system;
- The specific tools and methods that proved useful;
- An evaluation of the strategy's successes and failures in meeting objectives and our observations regarding application to other states.

The study makes use of quantitative information and methods developed for Utah. In each case, these techniques are intended to illustrate practical approaches to analyzing and structuring the major management problems of a corrections system in transition.

Section II

POLICY OBJECTIVES

Attempting to reform a youth corrections system in a manner emphasizing reduction of institutional populations requires reshaping the interactions of a variety of interests. Motives ranging from community protection, to the need to actively attempt to modify behavior, to the desirability of cutting budgets, to the personal interests of corrections employees in preserving their jobs create conflicting pressures. Despite the difficulties, however, attempting to articulate policy objectives can be a useful early step in managing transition. Such a process can:

- o Help set an overall direction for the system.
- o Provide a framework for evaluating strategies, measuring progress, and allocating resources.
- o To the extent it involves the formal or informal participation of court and corrections personnel, the process can help define and clarify problems and improve communication.

Listed in this section are the basic policy objectives that helped guide the Utah initiatives. They are intended to describe basic principles for action, although their application must be tempered by the recognition that they were not necessarily always clearly understood by parties in the system, they conflict in ways that are not always possible to reconcile, and the priority for their application can change with the situation.

A. PROTECT THE COMMUNITY

The initial interest of the system must be to promote the protection and security of the citizens and children of the state. This goal has both short and long term elements. In the short term, this necessarily involves securely isolating some individuals, although such security is appropriate only for a very small fraction of total referrals. The longer term interest of protecting the community is served primarily by seeking ways to control recidivism. Though there may be many alternatives for how this is best accomplished, which treatment techniques are most effective for specific children, etc., the value of an approach should be weighed in terms of its impact on preventing future delinquency.

B. PROVIDE FOR THE NEEDS OF THE CHILD

Assuming the community is adequately protected, a further priority is to serve the needs of the child. Service to the child rests on three basic principles:

1. Use of the Least Restrictive Placement - The rule (although there may be exceptions) is that the child should be placed in the least restrictive setting possible, both in terms of program content and duration. A corollary to this is the presumption that a child's need for restriction must be demonstrated, at least in part, by failed prior placements as the child moves through the system (e.g., that both day treatment and foster care should have been tried and failed before a more institutional approach is used, etc). The child should prove his way up the restriction continuum.
2. "Treatment" in Preference to Maintenance - The system should be geared to "treating" juvenile delinquency problems with the recognition that the impact of treatment is often difficult to measure. Programs that emphasize active intervention in the underlying problems of the child and family and the creation of plans to remedy them are preferred to approaches that emphasize only custodial services.
3. Provide Services in the Context of the Child's Community - The system should minimize the disruption of out-of-home placement by providing services in the context of the community to which the child will return. (This is not to say that out-of-area referrals are never appropriate - rather that a local alternative is the placement of preference.)

C. PROVIDE FOR DIVERSITY

The need for a variety of placement alternatives (and options to out-of-home placement) is a third basic value. This includes the provision of specialized forms of treatment, particularly for children whose delinquency problems are thought to be rooted in emotional and mental difficulties. This must, however, be considered in light of the practical realities of dealing with a fairly small population. For example, the desirability of having specialized programs that are frequently available to accept children (i.e., don't have waiting lists) must be balanced by the problems created by having programs that are not often full and may not be cost-effective and with the difficulty of unambiguously defining the "needs" of a specific child.

D. PROMOTE ACCOUNTABILITY

The system must be administered in such a way that responsibility for placement, case management, and termination is clear. The decision to use out-of-home resources must be made in an orderly, well documented framework, with a clear and professional understanding of the child's needs and the treatment options available. The corrections system should provide the individual worker with support and back-up necessary to execute his/her responsibilities. The case worker must be fully accountable for the child's treatment, both in the community and (when necessary) in out-of-home placement.

E. MINIMIZE COST

The system must be operated in such a way as to minimize long term costs. Other things being equal, the lowest cost method should be chosen. To the extent a private vendor can provide a given service more efficiently than can a state agency (or vice versa), an economic trade-off decision ought to be made. To the extent one program offers more total services than another at a given price, it should be favored.

From these basic principles (though not fully articulated at the outset), the deinstitutionalization initiatives were created. The creation of the appropriate political climate in which they could be implemented is the subject of the next chapter.

Section III

ESTABLISHING SUPPORT FOR SYSTEM CHANGE

A. THE NEED FOR STRONG SUPPORT

Developing support for change is a prerequisite for successful implementation of any plan involving efforts to fundamentally redirect a bureaucratic system. Necessary support includes not only that from traditional sources of political power (e.g., executive and legislative branches of government), but also from others who are viewed by the system and the public as informed observers (e.g., citizen advisory groups associated with the system) or who have a significant capacity to influence public policy decisions (e.g., the media).

Support primarily entails a recognition of the need for change and endorsement of the general direction for reform, rather than acceptance of a detailed plan of action. Consensus on a specific strategy is likely to be impossible, but generalized support for the effort can provide legitimacy for the radical steps which may be necessary to effect change and can help overcome the difficulties inherent in any bureaucratic reform effort. These may include:

- Resistance From Within System - The capacity of individuals within the system to resist change is high. A general perception that change is inevitable and the proposed direction for reform has broad political and public support can help isolate and diffuse opposition from within the system.
- Budgetary Limitations - Most social service programs (especially in the post Proposition 13 era) are funded at levels barely sufficient to maintain operation of the system. Obtaining additional funding to help finance the evaluation of the current system, the planning of new programs, and the implementation of proposed changes all require strong political and public support.
- Attraction of Skilled Personnel - Leadership and administrative expertise are essential for implementing system change. The perception of political and public support can help attract skilled personnel from inside and outside the system by reducing the apparent career risks associated with participation in the reform process.

In addition to these difficulties common to any system change, reform of the juvenile justice system entails several unique problems:

- High Public Visibility - The problems of crime and the handling of criminal offenders are matters of substantial public and media interest. Accordingly, the inevitable periodic failures of the system (such as the commission of a serious crime by a youth while in a non-secure setting) are likely to receive considerable public attention and can provide an easy opportunity for opponents of change to generate resistance to deinstitutionalization.
- Fragmentation - Juvenile justice seldom operates as a "system" - authority and responsibilities for juvenile offenders are often divided among various agencies of state government and between state and local government. The acceptance of a single, general philosophy is difficult to achieve, providing an opportunity for individual segments of the "system" (with the support of their own political constituencies) to oppose or resist changes in other areas.
- Political Power of Institutions - Programs emphasizing "least restrictive" disposition for juvenile offenders necessarily involve the closure or reduction in size of training or industrial schools, and often, the shift of jobs from the public to private sectors. These institutions generally have substantial political support among local community leaders, legislators, and from public employee organizations who can be expected to use this power aggressively as reform initiatives begin to threaten the survival of the institutions.
- Additional Budgetary Limitations - New community based programs for delinquent youth generally must be developed concurrently with the continued operation of existing programs. "Fixed" costs in an institution prevent complete transfer of funds to new programs for diverted youth, and, even where closure of an institution is feasible, some period of overlap in operations is usually necessary. Accordingly, a deinstitutionalization effort is likely to require funding beyond existing levels, with only a promise of reductions at some point in the future. Without the availability of outside resources (e.g., LEAA, OJJDP, private resources assembled from foundations, local business, etc.), political support for supplementary appropriations is a necessity.

B. THE UTAH EXPERIENCE

In Utah, several events occurred in the late 1970's to help establish political support for deinstitutionalization. In 1975, the ACLU filed a class action lawsuit alleging substantial abuse and mistreatment of juvenile offenders at the state's only "secure" institution, the Youth Development Center (YDC). The lawsuit focused public attention on the poor conditions at the facility and on the practice of holding large numbers of status offenders in the institution. At the same time, a progressive state legislator became interested in abuses at the YDC and began studying the results of the Massachusetts experience. For the next several years, the legislator became a strong advocate for community programs and played a central role in interesting other legislators in the issue and in obtaining

editorial support for community programs in the local media.

The next year, a new governor installed a progressive director of the Department of Social Services (the umbrella agency with authority over the YDC) and expressed a general commitment to finding some solution to the YDC's problems. The same year, the Legislature authorized and funded a comprehensive study of the state's adult and juvenile justice systems. The focus of the study was primarily on organizational issues, with many of its sponsors intending it to provide a basis for the establishment of a Department of Corrections, with authority over adult and juvenile correction programs (both within the Department of Social Services). While the study (directed by Ira Schwartz) recommended establishment of a unified Department of Corrections, it also criticized the use of the YDC for status and other less serious offenders, and presented an outline of a deinstitutionalization plan, emphasizing the potential cost savings of such an approach.

These events served to legitimize (for the public and state policy leaders) the existence of a problem in the juvenile justice system, focusing primarily on cost and management issues. The issue of community programs as an alternative to institutionalization and as a desirable treatment goal had surfaced, but had not received significant attention. In 1977, Jerome Miller was invited to speak to state and local social service leaders on the Massachusetts experience. Miller's presentation, outlining the treatment advantages of community based programs, helped galvanize groups interested in improving treatment programs for delinquent youth who had become alarmed about discussions of unifying adult and juvenile programs in a single department.

Late in 1977, the Legislature created the Blue Ribbon Task Force on Criminal Justice composed of representatives from the executive, legislative and judicial branches of state government. The Task Force was intended by its sponsors to settle the organizational issues concerning the adult and juvenile justice system raised by the Schwartz study. Although it did consider these issues, the Task Force study evolved into a wide ranging review of the state's entire criminal justice system. The Juvenile Court judges used the Task Force as a forum to discuss the inadequacies of the YDC as a secure institution (e.g., citing a high AWOL rate at the facility). Others presented information on the cost and treatment advantages of community based programs for juveniles and provided detailed evidence on the presence at the YDC of numerous status offenders and other youths with light criminal records. The Task Force reaffirmed the recommendation for a unified Department of Corrections, but also made recommendations for reduction in the YDC population and the development of new community-based programs.

In 1978, the State received an \$800,000 discretionary OJJDP grant to establish new community programs. After several false starts, reorganization of youth programs into a Youth Corrections Division within the Department of Social Services (the Legislature rejected the Task Force recommendation for a unified Department of Corrections), and difficulties in establishing an adequate screening mechanism for placement of delinquent youth in the new programs (see Section V for further discussion), the deinstitutionalization programs began to move forward. By late 1979, the YDC commitment population had been reduced from 180 to about 80 youth, the

girls program at the YDC had been closed, and over 140 new community based alternative placement slots had been established.

A study by an outside evaluator largely confirmed the cost savings and treatment advantages (lower recidivism rates) of the new programs. This information was reported to the Legislature and the media periodically, along with presentations by other outside observers (Lloyd Ohlin, Milt Rector, and Jerome Miller). A group of key legislators, well informed about community based approaches and now armed with supporting data, were able to obtain new state funding in 1980 to replace the OJJPD grant and authorization to replace the YDC with small, regional, secure residential facilities (using the sale of YDC farm land to finance its new facilities).

The exact number and configuration of secure beds remains to be determined. Administrative judgements supplemented with preliminary quantitative data (see IV.B) support a number of about 40-60 slots. High interest rates have prevented the sale of much of the YDC land. Resistance to further reductions in the YDC population has begun to surface among law enforcement and some juvenile court judges. However, the commitment to community based programs has become well established with broad political support, and the emphasis has shifted to consolidating and improving the new system after the years upheaval and change.

C. A STRATEGY FOR ESTABLISHING SUPPORT

Utah's experience in attempting to move towards a community based juvenile justice system is, of course, unique - times change, political environments differ, and the structure of systems vary. However, several aspects of Utah's experience seem to have general applicability to the development of a plan for system change:

- Establishing Need for Change - The critical first step in any reform effort is rejection of the status quo and recognition of the need for system change, whatever its direction. For Utah, the ACLU lawsuit and abuses and mismanagement at the YDC uncovered by media and interested legislators had such an effect. From early on, the issue became how the system should be altered rather than whether change was needed. The events or reasons may vary, but a fundamental shift in how the system is viewed is required to force consideration of new ideas and to prevent return to the status quo.
- Obtaining Support for the Direction of Changes - In a fragmented system and pluralistic society, no single rationale is likely to generate support for a policy initiative. In the case of deinstitutionalization, different interest groups supported the effort for widely differing reasons, including:
 - The perceived treatment advantages of community programs;
 - A need for greater emphasis on the family in programs for delinquent youth;
 - A need for greater security for some offenders which would be possible in smaller, new facilities;

- The potential cost savings of community programs;
- The establishment of new programs in underserved areas; or
- The ability of community programs to be operated by the private sector rather than government.

Recognition and reinforcement for these differing reasons for support of community programs is essential in broadening acceptance of the initiative.

- Core Political Support - Winning the hearts and minds of a large number of political players is a difficult task. In Utah, support from the Governor and a small, bipartisan core of knowledgeable and respected legislators was sufficient to provide a basis for system change. The involvement of these individuals (through participation in studies and task forces and through individual effort) generating a detailed understanding of the system and a complete command of the relevant data, enabled a small group of legislators (3-4) to be perceived by their peers as "experts", resulting in a general deference to their views in key policy and funding decisions in the early stages of the initiative. Broader support can be generated over time and becomes more vital as core supporters leave the political arena or go on to other issues.
- Media Relations - The role of the news media in establishing support for the need and direction of change is critical. In Utah, the media required little encouragement in uncovering abuses in the old system, but editorial support for and favorable coverage of new community programs was achieved only after substantial effort. Mistrust of bureaucrats generally means that editorial support can best be achieved through the already established contacts of core political supporters. Thereafter, openness to scrutiny and the provision of relevant data and studies by administrators can be helpful in maintaining good media relations.
- Use of "Outside Experts" - An outside evaluation of the new community programs and the periodic appearance of "experts" from other areas of the country was effective in establishing credibility of and broadening support for the deinstitutionalization initiative within the system and among legislators and the media. The perspective provided by these observers helped overcome concern that Utah was attempting something radical or untested, while reinforcing the view that the state was at the forefront of reform, soon to be followed by other states.
- Understanding the Limits of Support - Utah did not follow the Massachusetts model of overnight changes and wholesale closure of institutions. While the more deliberate approach to deinstitutionalization may create some risk of eventual return to the old system, in Utah it reflected a recognition of the limits of support for change in an extremely conservative environment and involved a constant balancing of the requirement for some consensus with the continuing need for active change in the

system. The discrediting of the old system created an environment conducive to a reorientation and restructuring of the system. Complete consensus was never possible for most decisions, and actions often had to be taken in the face of considerable opposition. The limits of support must be clearly recognized by reform leaders and activities pursued in that context, despite the frustrations to advocates of more far reaching change. The extent and nature of support will vary from state to state and should be carefully evaluated and then stretched to its limits, but the pace and extent of reform will inevitably be shaped by the ability of its leaders to assess, structure, and manage the political realities of the system environment.

In the material that follows, some detail of implementing the transition of a system are discussed. The need for support is irrelevant to many management decisions, but some are likely to involve a level of resistance or controversy which requires strong political and public support to carry out effectively. In any transition, planning consideration should be given to the potential use of such support as a component of the implementation strategy and the extent to which the proposed action is consistent with the limits of such support.

Section IV

EVALUATION AND RESOURCE PLANNING

As efforts to solidify political and public support begin to create an environment where change is possible, the corrections manager's strategy must expand to encompass defining more precisely the modifications in the distribution of treatment resources that are needed and, concurrently, establish administrative processes that put the changes soundly in place. Both of these roles are strengthened to the extent that decision making can be based on clear pictures both of how the system currently operates and of how it should be modified.

Case and cost flows define many of the management problems in a corrections system. The second major component of a management strategy, therefore, involves understanding how children move through the system, how (and why) corrections resources are allocated, and determining what range and mix of resources will be required by a "deinstitutionalized" disposition philosophy.

Our intention in this section is to suggest some approaches for comprehensively (and quantitatively) analyzing placement practices and their cost consequences. The initial segments of the section, drawing particularly from a study of corrections group homes, illustrate how placement records and costs can be structured, how problem areas can be identified, and how a basis for reallocating resources can be developed. The final portion sketches the development of a comprehensive method to model the need for placement slots based on the Utah data. While this approach has not been formally implemented in Utah, its general logic may prove applicable to other situations.

A. EVALUATING CURRENT PRACTICES

As was discussed in the previous chapter, the credibility of a corrections management initiative may rest on the quality of the "factual" information available on the current performance of the system. To define case flow through the Utah system and, hence, the placement demand generated by existing disposition practices, interviews and discussions with corrections and court personnel were supplemented with two basic quantitative approaches:

- "Snapshot" Modeling - While disposition guidelines and stated practices provide an anecdotal view of how the system should function, they do not provide an adequate basis for planning placement demand. In order to provide an overview, a modeling process is required. "Snapshot" modeling involves looking at a

sample of children in all dispositions at a given point and determining, based on their case histories, the path that took them to their present placement. The snapshot shows directly how corrections placement resources are being consumed at a point in time, i.e., how many secure care slots are in use, how children are distributed to "community" programs, etc. In addition to showing how resources are allocated to types of care and types of cases, snapshot models can also identify allocations to regions. This permits, for example, comprehensive analysis of the placement (cost) consequences of various courts' disposition practices and provides feedback on the effectiveness of budgetary processes.

- "Longitudinal" Modeling - To see flow of children through the corrections system, analyze lengths of stay, and determine recidivism successes of individual programs, a method that looks at complete delinquency careers is required. In essence, this involves reviewing the system over time and relating referral history to treatment history to determine pre-, during-, and post-placement criminality.

Because of the availability of computerized records of placements and referrals, the Utah system is more easily and comprehensively modeled than are the juvenile justice systems present in many other states. The lack of computerized records should not, however, diminish the value of both types of analytic modeling. Given that multiple levels of care can be defined and aggregated and that court and placement records are available, the same kinds of analysis can be applied to more limited, manually generated samples.

The final element of an evaluation of current systems is review of cost data. The third portion of this section is devoted to examples of vendor cost analysis used for purchased corrections services in Utah and provides a format for contrasting the cost and service characteristics of types of care. The final section suggests some conclusions that may be drawn from the data.

1. "Snapshot" Modeling - A "snapshot" of the children in the corrections system at a given point can tell:

- How they typically first got into the system (their "entry points");
- The nature and extent of a child's movement among programs prior to current placement, e.g., do some programs "feed" others, do children cycle from program to program at a given level of restriction, does the system act to screen out some children as the level of restriction increases, etc.?
- How disposition practices and resource consumption varies among decision makers, regions, etc. (e.g., to what extent do the placement consequences for a given delinquent act depend on where the act occurred, how do "tougher" disposition practices tend to shift the distribution of placement funds, etc.)

- a. Sample Selection - The size of a snapshot sample is, of course, dependent on the size of corrections population. Given the availability of computerized data in Utah, a 100% sample of children in out-of-home corrections placement on an arbitrary date was selected. In the following table these programs are arrayed from the generally most to least restrictive levels of placement. The categorization, according to "restrictiveness", is necessarily somewhat arbitrary and programs within each grouping vary significantly. Generally, programs with higher levels of supervision, more intensive treatment and fewer direct contacts with the community were considered more restrictive.

		Children in Residence 1/20/80
<u>Youth Development Center (YDC) Commitment</u>		72
Traditional "training school" is located in Ogden. YDC provides an institutional environment, including secure facilities for serious offenders.		
<u>YDC Observation</u>		32
Short term - usually 30 day, court ordered, secure commitment to the YDC campus for "evaluation". The diagnostic vs. punishment role of observation is a matter of continuing debate.		
<u>Committee on Alternatives for Troubled Youth - "CATY" Programs</u>		130
The "CATY" programs are newly established, private vendor programs created after 1978 and specifically intended as alternatives to institutional care. Program designs vary widely and include day treatment, alternative education, residential treatment, tracker advocate, specialized foster care, proctor advocate, and other approaches.		
<u>Group Homes</u>		
The "group homes" include various private vendor residential programs established over a twenty year period prior to the deinstitutionalization effort. Two basic types of programs are present:		
-	<u>"Residential Treatment"</u> facilities generally operate with a professional or para-professional rotating staff, using a formal therapeutic model and usually having an in-house school.	61
-	<u>"Houseparent"</u> facilities with a live-in, less formally trained staff, periodic therapy provided by social workers, and educational services provided by public schools.	74
<u>Corrections Foster Care</u>		21
TOTAL	392	

For these children, referral and prior placement information was assembled together with basic demographic data, e.g., age, sex, race, county of residence, religion, etc.

In replicating this approach elsewhere, several caveats on sampling are appropriate:

- Reasonably complete data must be available on either all children or on a sample with known biases.
- The most meaningful snapshots are made of systems that exhibit some stability through time. (The shorter the average length of stay, the more volatile the snapshot. Short term observation and diagnostic programs have more turnover, and single snapshot may be an inadequate basis for evaluation.)
- Referral records must show consistency across jurisdictions - if "overcharging" or routine inclusion of lesser offenses is more common in some areas than others, biasing in the snapshot can be expected.
- Groupings of programs based on some judgement of restrictiveness should be attempted. Limitations of such groupings should be recognized (e.g., a given foster home could provide a very highly controlled experience) but some generalizations are possible (e.g., in general, foster homes are less restrictive than group homes, small institutions are less restrictive than large institutions, etc.)
- The supply/demand paradox of local placement resources must be recognized; e.g., other things being equal, if more restrictive placements are used in one area versus another, it may be either the result of a more conservative disposition philosophy creating demand for more restrictive placements, or it may be caused by decision-makers simply making use of the placements that happen to be in the most convenient supply in the area.

b. Analytic Approach - The snapshot presentation consists of cross tabulations arraying the coincidence of the key variables:

- Age/sex/race
- Geographic variables
- Placement history
- Admitted/Adjudicated Referral History (offenses for which the child has either admitted responsibility or been adjudicated guilty).

Sample output from this process is included in Tables IV.1 through IV.3. Annotations are provided on each table to assist in interpretation. It should be reiterated that our intention is to

Table IV.1.

SYSTEM SNAPSHOT LAST PLACEMENT BY CURRENT PLACEMENT

Current Placement	Parenting Grp. Home	Residential Grp. Home	Other Grp. Home	YDC Comt.	YDC Obsv.	CATY Alternative	Foster Care	Home/No Record/Other	N
Parenting Group Home	17.6%	1.4%	2.7%	1.4%	1.4%	1.4%	32.4%	41.9%	74
Residential Group Home	4.9	6.6	9.8	.0	6.6	3.3	13.1	55.7	61
Other Group Home	.0	50.0	.0	.0	.0	.0	50.0	.0	2
YDC Commitment	4.2	2.8	.0	18.1	23.6	31.9	5.6	13.9	72
16 YDC Observation	12.5	.0	3.1	.0	6.3	.0	9.4	68.8	32
CATY Alternative	8.5	.8	6.2	15.4	19.2	24.6	13.8	11.5	130
Foster Care	19.0%	.0%	4.8%	4.8%	4.8%	4.8%	47.6%	14.3%	21

- Comments:
- Table Interpretation - This chart shows last recorded out-of-home placement without regard to breaks in placement (e.g., 17.6% of parenting group home children's last placements were in parenting group homes, although they may have been "free" for some interviewing period). This chart indicates "entry points" and "feeders."
 - "Entry Points" - Group homes and YDC observation are the major entry points to the system. About half the group home children and almost 69% of the snapshot YDC observation children are having their first out-of-home experience. (Samples of YDC observation on April 1 and June 9, 1980, showed 58% and 36%, respectively.)
 - "Feeders" - To the extent they are not an entry point, group homes (especially parenting) are fed by foster care. To a limited extent, they "cycle" - i.e., about 20% of the children now in group homes were previously in group homes.
 - YDC commitment is fed primarily by CATY and YDC observation. Given the age of its inmates, there is probably less chance to cycle.
 - Parenting group homes appear to act as a feeder to residential homes.
 - Foster care shows the greatest propensity to recycle.
 - If foster care - group homes - CATY - YDC is seen as a restriction continuum, then the system tends to feed upward. Movement from a more restrictive to less restrictive institution is uncommon.

Table IV.2
SYSTEM SNAPSHOT GEOGRAPHIC DISTRIBUTION; WORST CRIME
 (BY COURT DISTRICT, URBAN VERSUS RURAL)
 (Includes Parolees)

Worst Admitted/ Adjudicated Crime	Court District of Residence													
	N	1	N	2	N	3	N	4	N	5	Urban (Wasatch Front)	Rural		
No Records	31	2.7%	1	.4%	0	0.0%	0	0.0%	2	6.5%	3	.7%	10	13.2%
Persons 1 & 2	22	19.6	69	24.9	4	7.1	0	0	2	6.5	90	21.4	8	10.5
Persons 3	12	10.7	26	9.4	6	10.6	1	10.0	4	12.9	42	10.0	7	9.2
Property Felony	56	50.0	126	45.5	30	53.6	4	40.0	11	35.5	204	48.0	24	31.6
Persons Msd.	3	2.7	7	2.5	3	5.4	0	0	1	3.2	9	2.1	6	7.9
Other Crimes	10	8.9	37	13.4	9	16.1	2	20.0	8	25.8	54	12.9	12	15.8
Status	4	3.6	6	2.2	2	3.6	1	10.0	3	9.7	10	2.4	6	7.9
Depn./Neglect	2	1.8	5	1.8	2	3.6	2	20.0	0	0	8	1.9	3	3.9
Total	112	100.0%	277	100.0%	56	100.0%	10	100.0%	31	100.0%	420	100.0%	76	100.0%

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- Comments:
- Table Interpretation - In District 1, 22 of the 112 placements were juveniles whose worst crime was a first or second degree felony against persons. The sum of urban and rural placements does not equal the sum of court district records due to missing data and out-of-state children in placement.
 - About 80% of placements in Districts 1 and 2 have a felony worst referral. The percentage drops significantly for Districts 3, 4 and 5.
 - Personal felonies are heavily concentrated in District 1 and 2 placements.

Table IV.3
 SYSTEM SNAPSHOT GEOGRAPHIC DISTRIBUTION; WORST CRIME
 (BY COURT DISTRICT, URBAN VERSUS RURAL)

Worst Admitted/ Adjudicated Crime	Court District of Residence										Urban (Wasatch Front)		Rural	Total	
	N	1	N	2	N	3	N	4	N	5					
Parenting Grp. Homes	14	12.5%	33	11.9%	18	32.1%	3	30.0%	5	16.1%	60	14.3%	14	18.4%	74
Residential Grp. Homes	8	7.1	49	17.7	0	0.0	2	20.0	1	3.2	54	12.9	7	9.2	61
Other Grp. Homes	0	0.0	2	.7	0	0.0	0	0.0	0	0.0	2	.5	0	0.0	2
YDC Commitment	21	18.8	37	13.4	9	16.1	0	0.0	4	12.9	63	15.0	9	11.8	72
YDC Observation	17	15.2	9	3.2	3	5.4	2	20.0	0	0.0	27	6.4	5	6.6	32
CATY Alternative	22	19.6	88	31.8	11	19.6	3	30.0	6	19.4	116	27.6	14	18.4	130
Foster Care	2	1.8	17	6.1	2	3.6	0	0.0	0	0.0	20	4.8	1	1.3	21
Parolled	28	25.0	42	15.2	13	23.2	0	0.0	15	48.4	78	18.6	26	34.2	104
Total	112	100.0%	277	100.0%	56	100.0%	10	100.0%	31	100.0%	420	100.0%	76	100.0%	496
Ever on Probation?	94	83.9%	213	76.9%	35	62.5%	6	60.0%	17	54.8%	323	76.9%	44	57.9%	

- Comments:
- Table Interpretation - 14 children or 12.5% of District 1's 112 placements were in parenting group homes. Sum of urban and rural placements does not equal sum of court district records due to missing data and out-of-state children in placement.
 - Residential Group Homes, CATY, and Foster Care are primarily District 2 resources.
 - YDC Commitment and Observation are used most frequently by District 1.
 - Urban District placed population have more frequent prior probation contact than rural.
 - Foster Care is almost non-existent in rural areas.

show examples of analytic methods applied to "real-world" situations rather than to present a complete description of the Utah system. We have, therefore, included in this document only highlights selected from a more detailed analysis and several of the conclusions mentioned below may be based on data not included in this paper. A comprehensive and detailed presentation of the Utah Modeling effort is contained in Youth Corrections Group Homes in Utah - Final Report (John Short & Associates, Inc., Salt Lake City, Utah, 1980).

c. Snapshot Results - The Utah snapshots of the reforms in process in January, 1980 produced the following major conclusions on the functioning of the system:

- In spite of the creation of some community programs, children were still not entering the out-of-home placement system consistent with the "proved need for restriction, failed prior placement" objective.
 - The first out-of-home placement tended to be in group homes and YDC secure observation, not foster care or day treatment, as would have been preferred.
 - Probation had been tried prior to out-of-home placement on only half of the children placed in group homes.
 - Foster care was a severely limited resource, available only to the Salt Lake County district.
- CATY-type programs appeared to be functioning (as intended) as a YDC alternative in the sense that they drew similar populations.
- The YDC observation population appeared essentially similar to CATY children in all respects except immediate pre-admission crime frequency. Observation children show much higher crime rates (though not severity) in the year prior to entry, although their total records were similar.
- Community placements were often not attempted prior to YDC commitment placements.
- Court Districts 3, 4 and 5 (rural areas) appeared to place out of home based on less severe criminal histories than Districts 1 (Ogden) and 2 (Salt Lake) - possibly because of limited community based options in rural areas and less tolerance for perceived anti-social conduct in small towns.
- Court Districts 1 and 2 (urban) placements had about the same criminal backgrounds but were distributed to homes and institutions much differently:

District 1: Showed preference for YDC observation and commitment (YDC is located in District 1).

District 2: Showed preference for community programs (most community programs are located in District 2).

- Due to higher rates of out-of-home placement and longer stays in programs, the community-based preference in Salt Lake County appeared to consume more funds per referral and per capita than the more restrictive philosophy apparently used in District 1.

The snapshot methodology thus provides the beginning of a quantitative portrayal of how the levels of the system operate and interact. Since it does not track individual children through time, its usefulness as a tool for analyzing length of stay, recidivism, and other characteristics of specific programs is limited. A complete portrayal requires that the snapshot be supplemented with the longitudinal methods discussed below.

2. Longitudinal Modeling - A longer term perspective on placement practices, length of stay in programs, and apparent criminality pre-, during- and post-placement requires review of the crime and placement careers of individuals who have passed through the corrections system. As with the snapshot approach, it should be noted that some inherent measurement difficulties must be overcome and subjective judgements made. For example:

- Intangibles are not reflected in formal records. To the extent undocumented attitudes, behavior and responsiveness in the presence of court and corrections personnel, personal biases, etc. effect placement and release, the reasons underlying disposition may not be available in the record.
- The severity of individual delinquency problems and the measurement of any improvement must be calculated with subjective yardsticks - e.g., Should the characteristics of chronic property offenders in some way be treated the same or differently than children who are periodically violent? What ground rules should be used to define one outcome as "better" than others?
- Cause and effect in a treatment program are difficult to separate - many children who "act up" will eventually "settle down" on their own, regardless of the intervention of the corrections systems.
- Corrections programs operate with a variety of objectives that make a uniform standard of comparison difficult. For example, a program that experiences a relatively high run rate could be:

- Consciously attempting to deal with children exhibiting this type of behavior;
- Creating intolerable conditions for some large fraction of children in residence;
- Providing a more rigid treatment environment; or
- Using running as a screening device.

Depending on the program objectives, different evaluations of effectiveness are possible.

Longitudinal analysis of delinquency/placement records was the subject of several studies in Utah. For purposes of illustration, the discussion below is limited to the "group home" level of the system. Samples are shown to differentiate among individual programs and between the "houseparent" versus the "residential treatment" generic types of care. To the extent such analysis clarifies interactions among delinquents and programs, it has application to other systems.

a. Sample Selection - For the group home segment, the placement and referral data on a 100% sample of almost 1000 admissions to group home care over a number of years was compiled. The data collected consisted of admitted-adjudicated referrals, grouped into categories of personal and property felonies and misdemeanors, status offenses, etc. and referral dates (assumed to closely relate to the date of commission, placement dates and location). Once again, the Utah computer capability facilitated the sampling although a manually drawn sample would have been possible.

b. Analytic Approach - A variety of methods for computing crime rates are possible, ranging from rates that include an entire referral history to those that relate only to the immediate pre-entry referrals that presumably generated the placement. The approach shown on the tables used the following assumptions.

Delinquency Rate	Description
"Pre"	Admitted/adjudicated referrals dated in the 365 days prior to program placement date.
"During"	Admitted/adjudicated referrals dated from program entry date to program exit date as established by corrections payment records. Breaks in placement of less than 30 days (with no change in program) were considered a single admission. Whenever a child changed programs, a new admission was computed.

Delinquency Rate	Description
(Continued)	
"Gross Post Placement Rate"	Admitted/adjudicated referrals from program exit date to the earliest date of the following: File cut off date (= Jan. 21, 1980) 18th birthday (end of juvenile court record) One year from exit date
"Post Rate at Risk"	Admitted/adjudicated referrals from program exit date to the earliest date of the following: File cut off date (= Jan. 21, 1980) 18th birthday (end of juvenile court record) (This adjustment to the "gross" rate is taken to exclude from the calculation those periods during which the child was placed in other programs.) Re-entry date to another corrections program One year from exit date

To account for children who may move directly from one program to another, only those with a post period of 30 days or more were used in "post at risk" calculations. Admitted/adjudicated rates were normalized to a crimes per 1,000 day basis. Groupings of rates were based on weighted averages.

To supplement overall criminality data, several cohorts of the placed population were examined:

- Length of stay (LOS) was broken down into less than 30, 30 to 180, and 180+ day intervals to allow examination of the segments of the child population who were presumably "runners", "normal stayers", and "long termers".
- "Lightweights" - This cohort represents males with an offense history showing nothing more serious than status or "other" crimes (offenses other than felonies or personal misdemeanors).
- "Personal Felons" - This cohort includes males with at least one referral for a personal felony prior to admission to the group home.
- "Frequent" - The frequent cohort consists of all males with a referral rate higher than 10 per 1,000 days prior to admission.
- "Multi-Placement" - This cohort consists of males with more than 2 out-of-home placements prior to entering group home care.

Sample results of the longitudinal studies comparing pre-during-post crime rates by type of home, length of stay, and child cohort are shown with annotations on Tables IV.4 through IV.7. Again, it should be noted that these data are part of broader studies and are presented for illustrative purposes only. They represent observations of a population rather than fully controlled experimental results.

c. Referral History Results - While the longitudinal modeling effort is not intended to provide specific case-by-case guidance on who should go where, it does furnish useful information on the similarities and differences in program performance. Such differentiations can have significance for resource planning. If, for example, one type of program shows consistently better outcomes than another, then a shift of emphasis to this type may be considered. If (as is the case with the group home data presented below) the outcome differences are unclear, then the least expensive type of program may be preferred. However, other values (e.g., the desirability of providing active treatment in spite of clearly positive results, the preservation of geographic diversity, etc.) may also influence procurement. The general conclusion developed for the group homes included:

- The homes that started with the "lightest" children (in terms of prior criminality, number of prior placements, etc.) produce the most favorable recidivism outcomes although they may have had a concomitant effect of pushing the "problem" children off to somewhere else.
- The parenting group homes show differences in terms of:
 - Starting with, in total, a more criminally active population that is also younger and may be in a more delinquency prone stage of life.
 - Showing greater reduction in felony rate during stay.
 - Appearing more willing to accept children with multiple prior placements.
- The residential group homes show differences in terms of:
 - Being somewhat better at keeping individuals crime free during and after placement. (Although this finding should be treated cautiously given that a higher fraction of residential home children were terminated at age 18 and their adult terminality, if any, was not examined. Also, given that each residential program had an in-house school, these programs probably had more total supervision over their children than the parent homes.)

Table IV.4

HISTORICAL PRE/DURING/POST CRIME RATES - RESIDENTIAL AND PARENTING MODELS

(RATE PER 1000 DAYS)

	1 Year Prior		During		Gross Post Placement	
	Rate	% Felonies	Rate	% Felonies	Rate	% Felonies
<u>Residential Homes</u>						
FY 76	9.3	20%	4.0	19%	5.7	32%
FY 77	9.7	29	7.9	49	4.5	25
FY 78	7.1	23	4.0	32	3.8	26
<u>FY 79 (3 quarters)</u>	<u>8.1</u>	<u>25</u>	<u>2.3</u>	<u>26</u>	<u>4.3</u>	<u>27</u>
Overall	8.2	24%	4.1	35%	4.4	27%
<u>Parenting Homes</u>						
FY 76	7.6	23%	3.2	16%	3.6	24%
FY 77	9.5	24	4.7	18	5.2	26
FY 78	9.3	26	5.7	20	6.0	27
<u>FY 79 (3 quarters)</u>	<u>9.4</u>	<u>23</u>	<u>7.3</u>	<u>15</u>	<u>7.8</u>	<u>28</u>
Overall	9.1	25%	5.4	18%	5.9	27%

- Comments:
- Pre Rates Felony percentage is constant and undifferentiated between residential and parenting group homes.
 - During Rates Residential placements generally commit felonies at both a relatively and absolutely higher rate during placement. Rate appears to be heavily influenced by Pine Canyon (see III.11 and III.14).
 - Post Rates Overall recidivism is trending upward in parenting homes.
 - General Both models show same basic trends although parenting homes have consistently higher absolute crime rates.

Table IV.5
PRE/DURING/POST CRIME RATES
RESIDENTIAL AND PARENT MODELS
(Males Only)

	N	% of Total Male Entrants	Pre	During	Gross Post Placement	% at Risk	Post Rate at Risk
<u>Residential Homes</u>							
Lightweight	88	33%	7.41	3.89	5.20	81%	5.2
Personal Felons	24	9	14.95	4.05	7.14	67	4.7
Frequent	104	39	17.33	5.66	7.50	71	7.1
Multi-Placement	134	50%	9.77	8.19	6.94	72%	6.2
<u>Parenting Homes</u>							
Lightweight	234	40%	7.24	5.69	5.92	79%	5.1
Personal Felons	32	5	12.67	4.20	7.46	81	6.4
Frequent	220	37	18.17	6.53	7.84	74	7.3
Multi-Placement	355	60%	9.27	7.28	7.54	71%	7.0
<u>All Homes</u>							
Lightweight	322	38%	7.28	5.10	5.75	80%	5.1
Personal Felons	56	7	13.65	4.15	7.33	75	5.8
Frequent	324	38	17.90	6.24	7.74	73	7.2
Multi-Placement	489	57%	9.40	7.55	7.39	71%	6.8

Comments:

- Parenting homes take a larger ratio of "lightweight" record and "multi-placement" admissions in proportion to total males admitted. "Frequent" males show approximately the same proportions in both models. Residential homes take higher percentage of personal felons. Cohort pre-rates are similar for both models.
- "During" rates are higher in most cases in the parent models.
- Between the two models, lower variances exist in gross cohort post rates than in the during period, although the parenting homes, as a group, show slightly worse gross post rates for each cohort.
- Percentages of admissions who entered the "at risk" period (i.e., were out at least 30 days) are similar with the exception of personal felons who may have done worse when released from the residential homes than their parenting counterparts.
- Post rates at risk follow a similar pattern to gross rates although residential homes apparently are related to greater rate reduction in personal felons in the "at risk" period.

Table IV.6

RELATIONSHIPS BETWEEN LENGTH OF STAY AND DELINQUENCY RATES

(Gross Post Placement Rates)

Home *	Total Entrants	Length of Stay < 30						Length of Stay 31-180					Length of Stay > 180						
		N	% of Total	Rate Per 1000 Days			Ave. LOS	N	% of Total	Rate Per 1000 Days			Ave. LOS	N	% of Total	Rate Per 1000 Days			Ave. LOS
				Pre.	Dur.	Post				Pre.	Dur.	Post				Pre.	Dur.	Post	
Residential																			
Artec	131	23	18%	6.6	-0-	3.3	15	63	48%	6.7	1.9	3.3	90	45	34%	7.9	2.0	3.7	274
Manhattan	53	5	9	4.4	-0-	.6	15	41	77	7.5	1.2	1.4	83	7	13	5.5	-0-	2.0	302
Odyssey	52	17	33	8.2	-0-	4.1	6	22	42	7.0	2.0	3.6	91	13	25	11.0	.3	.6	281
Pine Canyon	141	21	15	6.9	55.6	6.1	15	61	43	9.9	12.0	7.0	104	59	42	10.5	4.9	7.0	296
Total	377	66	18%	6.9	20.2	4.2	13	187	50%	8.0	5.4	4.2	93	124	32%	9.3	3.1	4.9	287
Parenting																			
Kearns (UBR)	157	29	18%	8.2	41.3	7.1	16	76	48%	9.7	8.3	6.7	103	52	33%	10.2	4.4	5.0	351
Mapleton (UBR)	50	8	16%	8.9	-0-	13.4	15	31	62	10.8	11.1	6.4	99	11	22	6.5	4.3	1.8	272
Orem (UBR)	52	12	23%	13.7	21.3	5.7	16	30	58	10.0	6.1	7.7	71	10	19	7.4	3.3	10.0	271
Sandy (UBR)	42	8	19%	14.7	15.6	8.4	16	17	40	10.3	6.8	7.1	87	17	40	7.6	1.7	4.8	275
Heritage	211	36	17%	10.9	31.0	8.2	20	108	51	8.2	10.9	6.0	103	67	32	7.7	4.0	3.7	317
Rush Valley	79	12	15%	4.6	-0-	3.5	16	32	41	8.1	2.4	3.7	77	35	44	9.2	.5	2.9	350
Total	591	105	18%	9.9	26.2	7.5	17	294	50%	9.2	8.9	6.2	95	192	32%	8.6	3.2	4.2	322

Comments: • LOS < 30. It is not clear whether a higher percentage of entrants who stay less than 30 days represents a high incidence of runners, poor screening techniques, or a program that is consciously taking risks. The low extremes are Mapleton and Sandy (Utah Boys Ranch) and Manhattan. Odyssey has highest fraction of short stays. High "during" crime rates are consistent with runners getting into trouble.

• Pine Canyon: Has much higher during and post rates in comparison to other residential treatment programs.

• Average "pre" crime rates do not appear to systematically predict how long a child will stay.

• Increased L.O.S. appears favorably correlated with reduced gross post crime rates in parenting homes, appears uncorrelated in residential mode. Apparently children who stay a relatively long time in parenting homes are more "settled down" when they leave relative to their counterparts in residential care.

* Several programs operate at multiple locations.

Table IV.7

HISTORICAL CRIME INCIDENCE FOR RESIDENTIAL VERSUS

HOUSE PARENT MODELS OF GROUP HOMES

	Entrant's Number of Admitted/Adjudicated Non-Status Crimes	365 Days Pre-Entry (Percent)	During Stay	Gross Post Placement	
<u>Residential</u>	None	113	30% 295	78% 244	65%
	One	73	19 41	11 53	14
	Two	69	18 18	5 34	9
	Three	41	11 8	2 20	5
	Four	25	7 6	2 7	2
	Five	21	6 4	1 8	2
	Six	9	2 2	1 4	1
	<u>Seven +</u>	<u>26</u>	<u>7 3</u>	<u>1 7</u>	<u>2</u>
	Total	377	100% 377	100% 377	100%
<u>Parenting</u>	None	172	29% 393	66% 284	48%
	One	97	16 107	18 110	19
	Two	85	14 49	8 75	13
	Three	73	12 20	3 34	6
	Four	53	9 8	2 38	6
	Five	25	4 3	1 14	2
	Six	29	5 2	1 12	2
	<u>Seven +</u>	<u>57</u>	<u>10 9</u>	<u>2 24</u>	<u>4</u>
	Total	591	100% 591	100% 591	100%

Comments: ● Parenting homes take a slightly higher incidence of acute criminality (4 or more crimes in the year prior to admission).
 ● Residential homes show a high percentage of admissions who are crime free both during and after treatment. Some of this favorable trend may be the result of in-house schools, older children, and a larger fraction of low-referral females.

- Maintaining shorter lengths of stay (especially in urban programs).
- Being more willing to accept personal felons.
- Showing more pronounced drops in crime rates in the pre/during/post pattern.
- Maintaining a higher fraction of releases who are not replaced within 30 days (although a higher fraction of terminations are probably adults whose criminal records were not examined as part of the sample).

3. Program Cost Analysis - A third major element in analyzing the performance of the system is determining the way its costs behave. Understanding the patterns of funds flow within the system is vital to rational resource allocation among programs and levels of care within the system. The analysis must include:

- How services are "priced", i.e., what basis is used for transferring funds to vendors? If some fixed price per child-day or other unit of service is utilized (i.e., programs earn revenue in direct relationship to number of children served), then programs have economic incentives to maximize the number and length of stay of children in residence, limit cost (and maximize profits by cutting back on range and expense of services provided, etc). If payment is provided for program costs up to a contract limit (cost reimbursement), then the vendor may be motivated to maximize services (and costs), may be indifferent to how many children are kept in residence, may develop more selective admissions policies, etc. Since vendors often tend to act in their economic interest and since both fixed price and cost reimbursement systems have their strong and weak points, it is impossible to specify in advance a "best" method for pricing. It is important, however, to assure that the economic incentives built into the pricing mechanism are consistent with the corrections system's goals and expectations for how the vendor ought to act and are supported by checks and balances to prevent abuses.
- How programs are financed. Some programs may have the corrections system as a sole source of revenue, others may assemble multiple funding sources (private fund-raising, grants, support from non-corrections agencies, revenue from miscellaneous program activities [e.g., farms], school support, etc.), or may sell program services to non-corrections clients. To the extent such financing allows services be provided beyond the amount supported by the direct corrections contribution, the correction system may be benefited and the program may be a preferred vendor. To the extent a vendor can draw no funds beyond those coming from corrections, the program may be weakly managed or

poorly "plugged into" its community.

- How costs compare across programs. Given a knowledge of how dollars flow into programs, it is then useful to determine how they are spent. Are major amounts devoted to administration? Is fund raising (at least) a breakeven proposition? Do food and clothing expenses show wide swings among vendors? and, if so, why? Do profits or surpluses exist, etc.? For state run programs (which presumably attempt to operate "at cost"), what expenses are "fixed" (e.g., administration, facilities related cost, interest payments, etc.) versus what things vary with the client load (such as food and clothing expenses, staff salaries)? How do state program expense patterns compare with private vendors, etc.? Answering these questions is a prerequisite for understanding how resources are ultimately consumed in serving clients and for assessing the cost consequences of change.

This section briefly describes results of a cost and revenue analysis of a segment of the Utah youth corrections system. It required relatively little time (when performed by reasonably skilled financial analysts) and produced data used both in defining resource allocation and in setting pricing policy. (For each program, essentially all clients are corrections referrals. For definitions see IIIA.)

Table IV.8 shows the sources for revenue per service day generated for seven major program operators. Table IV.9 provides cost per day summaries in natural accounting classifications. Table IV.10 comments on the magnitude and disposition of operating costs and surpluses.

The cost analysis produced results indicating major differences among the types of group homes.

- The costs between the houseparent models and the residential treatment models were dramatically different. Not surprisingly, when all costs are normalized to calendar year 1979, the weighted average total cost of the houseparent models was \$32.90 per adolescent day, while for the residential treatment models the cost was 86% higher or \$61.06. The major reason for the higher cost was apparently the presence of a larger, more specialized staff in the residential treatment homes. These estimated cost figures do include non-program expenses such as management fees and other non-operating costs.
- While the payments for houseparent models from Youth Corrections appear to cover all program costs, Youth Corrections pays for a relatively small part of operating residential treatment homes. For the latest fiscal year, the daily rate of \$28 covered only 46% of the average total cost for these programs. Therefore, funds from other sources are necessary to continue the operation of these programs.

Table IV.8
REVENUE (PER SERVICE DAY)

	Houseparent Models			Residential Treatment Models			
	Utah Boys Ranch	Rush Valley	Heritage	Manhattan	Cdyssey	ARTEC	Pine Canyon
Actual Client Days	16,938	4,380	8,322	2,645	3,622	9,207	6,091
<u>Revenue Sources</u>							
Youth Corrections	\$22.61	\$24.56	\$28.00	\$25.94	\$25.39	\$18.14	\$28.00
DIPS	--	--	--	--	9.37	--	--
ADA	--	--	--	10.35	9.38	--	--
Granite Mental Health Ctr.	--	--	--	--	--	24.02	--
Salt Lake County	--	--	--	--	--	7.53	--
Food Subsidy	.63	--	--	--	.96	--	--
Federal Grants	--	--	--	--	--	14.84	--
School District	--	--	--	--	--	--	9.70
CETA	--	--	.42	--	5.80	--	--
School Lunch	--	--	--	--	--	--	1.37
Operating Revenue	23.24	24.56	28.42	36.29	50.91	64.53	39.07
Donations	9.49	4.11	--	.28	.97	--	--
Total Program Revenue	32.73	28.67	28.67	36.57	51.88	64.53	39.07
Other Income	.81	1.53	--	--	3.03	--	32.42
Total Revenue	\$33.54	\$30.20	\$28.67	\$36.57	\$54.91	\$64.53	\$71.49
Year of Data	1/78- 12/78	1/79- 12/79	1/79- 12/79	1/79- 12/79	7/78- 6/79	7/78- 6/79	7/79- 6/80

Comments on Revenue

Category	Utah Boys Ranch	Rush Valley	Heritage	Manhattan	Odyssey	ARIEC	Pine Canyon
Youth Corrections	1978 Rate	1979 Rate	1980 Rate	1979 Rate	1979 DFS	1979 Rate County Match	1980 Rate
DIPS					Contract for Status Offenders		
ADA				Drug Re- ferral Center Alcohol & Drugs	NIDA Alco- hol & Drugs		
Mental Health						Pays for indirect & support costs	
Salt Lake County						Pays for indirect & support costs	
Food Subsidy	Food Stamps				Food Stamps		
Federal Grants						Staffing Grant	
School District							Tooele
CETA			For Admin.		For Admin. (Trainees)		
School Lunch Donations	From fund-raising efforts	Individuals		United Way	Individuals		Tooele; Lumped into other category
Other	Interest Rents	Horse Account			Fees for service-home activities		Mostly land sales some donations, home activity

Table IV.9
OPERATING AND MANAGEMENT COSTS SERVICE
 (Per Service Day)

	Houseparent Models			Residential Treatment Models			
	Utah Boys Ranch	Rush Valley	Heritage	Manhattan	Odyssey	ARTEC	Pine Canyon
Capacity Days	17,885	4,380	8,760	3,285	4,380	9,855	6,935
Actual Client Days	16,938	4,380	8,322	3,102	3,622	9,207	6,091
<u>Expenses</u>							
Staff & Fringe	\$10.44	\$8.44	\$13.92	\$18.08	\$30.99	\$44.94	\$37.67
Professional Fees	.74	.84	--	--	2.46	--	2.23
Food	3.70	2.88	4.78	2.27	4.97	2.71	2.08
Supplies	.02	.80	.96	--	1.21	.59	1.60
Utilities & Maintenance	2.48	2.08	1.26	2.65	2.68	1.36	1.36
Travel	1.11	1.42	1.76	.48	1.71	.54	2.61
Assistance	1.38	1.99	1.79	7.13	3.07	1.28	1.43
Miscellaneous	.51	1.91	.14	.54	1.35	.54	1.06
Total Operating Costs	20.36	20.36	24.61	31.15	48.38	51.96	50.04
Fixed Costs	2.38	1.18	2.92	1.60	3.73	3.91	4.06
Equipment	--	--	--	.44	--	.71	1.02
Total Program Costs	22.74	21.54	27.53	33.19	52.11	56.58	55.12
Management Fees	--	--	--	3.38	7.12	7.94	--
Other Non-Operating	10.65	4.30	2.75	--	--	--	10.95
Total Costs	\$33.27	\$25.84	\$30.28	\$36.57	\$59.23	\$64.52	\$66.08
Time Period of Data	1/78- 12/78	1/79- 12/79	7/79- 6/80	1/79- 12/79	7/78- 6/79	7/78- 6/79	7/79- 6/80
Source of Financial Data	Audited Financial Statement	Deposits & Dis- bursement Records	Budget Form	Unaudited Statements	Budget Form	Unaudited Statements	7 Month Actuals Extra- polated. Full fin. statement refused.
Education Costs Included	NO	NO	NO	NO	NO	NO	YES, but unable to break out separately.

Comments on Expenses

Category	(1) Utah Boys Ranch	(2) Rush Valley	(3) Heritage	(4) Manhattan Project
Staff	House Parents Counselors Social Workers	House Parents Director Counselors	Director Houseparents Social Workers	Counselors Director Manager (Programs) MSW Group Leader
Professional Fees	Training program mostly	Accounting & Auditing	N/A	N/A
Food	No Comment	Raise own livestock (cost below)	No Comment	Food & Supplies together
Supplies	Office	Linen, office	Linen	Food & Supplies together
Utilities & Maintenance	Utilities & Maint., supplies	Utilities & Maint., repairs	Utilities, Maint., repairs, rental equipment	Utilities & Maint., rental equipment
Travel	Auto Expenses	Auto Expenses	Auto Expenses	Auto Expenses
Boys Assistance	Allowance, Clothing Scholarship	Allowance, Clothing	Allowance, Clothing	Assistance is major part part of program
Miscellaneous	Telephone, Mail, Advertising Animal Maintenance	Telephone, Subscriptions, Conference, Equipment,	Telephone	Conferences, Telephone Printing, Other
Fixed Costs	Rent, Depreciation, Interest, Insurance, Taxes	Rent, Insurance	Rent, Insurance, Taxes	Rent
Equipment	N/A	N/A	Rental above	Replacement, Rental above
Management Fee	N/A	N/A	N/A	Salvation Army Dues
Other	Management & Fund Raising Division	Livestock, horse related- Cedar Valley	N/A	Administration/Manage- ment

Comments on Expenses (Continued)

Category	(5) Odyssey	(6) ARTEC	(7) Pine Canyon	Overall
Staff	Director Treatment Coordinator Counselors Nurse Admissions Administrative	Psychiatrist Psychologist Social Workers Nurse Trainees, Housekeeping Administrative	Director Counselors Teaching Parents Psychologist Rehab. Specialist Administrative	Cols. 1-3 have "less specialized" staff. Cols. 4-5 have a slightly "more specialized" staff. Cols. 6-7 have a "very specialized" staff.
Professional Fees	Consultants	N/A	Consultants	Cols. 5 & 7 for related professional consultants
Food	No Comment	No Comment	Grow food in the farm program (cost below)	No real differences.
Supplies	Medicine, Office, Hygenics, Clothing	Office, Medicine, Linen, Laundry, Dining	Office Equipment & Supplies, Program Supplies	
Utilities & Maintenance	Utilities, Maint., Equipment Rental	Utilities, Maint., Repairs	Utilities, Maint., Repairs	Cols. 3-5 include equipment rental.
Travel	Company Vehicles, Gas, Repairs	Car Allowance, Motor Pool Charges	Transportation, Gas, Repairs	Types of charges comparable.
Boys Assistance	Clothing, Allowance, Recreation, Medical	Clothing, Allowance Recreation	Boys Activities	Col. 4 - Assistance is the key in the treatment process.
Miscellaneous	Telephone, Mail, Printing	Telephone, Mail, Subscriptions	Telephone	Col. 2 includes some equipment - stoves, etc.
Fixed Costs	Rent, Insurance	Rent	Rent, Insurance, Interest	All comparable.
Equipment	Rental (above)	Furniture and Rental	Replacement of Program Equipment	Mostly above in supplies or maintenance.
Management Fee	Odyssey Institute	County Overhead Charge	N/A	Cols. 4-5 are dues payments. Col. 6 - County overhead.
Other	N/A	N/A	Development & Farm Costs	Non-program related costs.

Table IV.10
SURPLUS AND LOSS IN GROUP HOMES

Home	Total Expenses	Total Revenue	Surplus (Loss)	Comments
Utah Boys Ranch	\$563,500	\$568,071	\$4,571	The surplus was from program operations, while the management and fund raising division lost money (Calendar, 1978).
Rush Valley	113,180	132,266	19,086	The surplus is used to pay off bank loans and is not generated from DFS funds, but from other activities (Calendar, 1979).
Heritage	251,996	236,516	(15,480)	Expenses are based on 100% occupancy while revenue is on 95% for the current fiscal year. Slight deficit would occur which could be funneled from other sources.
Manhattan	96,728	96,728	0	The operation is at a breakeven point reportedly due to cost control and conscious attempt to spend to budget limit (Calendar, 1979).
Odyssey	214,536	198,892	(15,644)	During fiscal year 1979, Odyssey ran a deficit, but has recouped the losses through current fund raising activities.
ARTEC	594,090	594,090	0	County and Granite Mental Health Center make up any deficit in the program.
Pine Canyon	\$402,464	\$435,467	\$33,003	These figures are for fiscal year 1980, determined by extrapolation of first 7 month actuals. Surplus is due to property transactions and goes to pay off previous substantial debts and capital improvements.

- The ability to expand the residential treatment operations is not clear. No economies of scale in multi-unit operations are demonstrated in the group homes. Each program must have a relatively small patient capacity for each separate facility. Given current pricing structure, an expansion may require funding sources other than Youth Corrections.
- The financial benefits of private fund raising for these homes was minimal. Only one program, Utah Boys Ranch, collected significant amounts of money, however, this was sufficient only to pay off the expenses of the Fund Raising and Management Divisions. Therefore, these programs are generally dependent upon state and federal monies. Private donations may serve to improve community contacts, but in Utah did not provide a funding source.

Similar (though less detailed) data was gathered on other out-of-home placement options available and is summarized below:

Summary of Corrections Services
Cost/Price to the State

Level	Approx. 1980 Cost Per Service Day
Youth Development Center (Observation and Commitment)	\$70
CATY Programs (Residential Components Only)	\$33-\$53
Group Homes (Houseparent and Residential Treatment)	\$28
Foster Care	\$11-\$13

In general, as the degree of restrictiveness decreases, so does the cost per day of service.

4. Conclusions - The analysis of case and cost flows outlined above illustrates how a quantitative, "management emphasis" review of a state youth corrections system can be conducted. While the data are, of course, directly relevant only to Utah, this general method of system review can be used to develop bases for reallocation of resources in any system. The resource planning conclusions developed through this study included:

- The existing demand for secure facilities seemed to have a marked geographic bias. The Ogden region (which contained the secure facility) used secure care disproportionately more than did other areas. Children having apparently

similar delinquency backgrounds were being dealt with in the Salt Lake area in community programs without any demonstrated ill effect. For both YDC commitment and, especially for observation cases, this provided an argument for further net reductions in the size of the YDC.

- The "least restrictive placement based on prior record" approach to dispositions had not been fully implemented. In addition to the potential overuse of YDC, there were apparently a moderate fraction of CATY children and a large number of group home cases who had not been tried in less restrictive settings prior to placement. This argued for an absolute reduction in group home slots and perhaps some reduction in CATY programs (although this could be offset if a YDC reduction created new CATY type demand).
- Differences in the "difficulty" of the enter children and differences in success in controlling recidivism could not be demonstrated between the residential versus the houseparent types of group homes. There was thus no apparent reason (other than a "treatment preference") to succumb to operator pressure and to change correction policy to begin paying more for the (admittedly) higher cost residential treatment type of service. The state should continue to pay a flat rate and purchase from whoever could provide the most services.

These general principles governed resource planning and acquisition through 1980. Their implementation is discussed further in Section X. More explicit portrayal of their implications follows below.

B. DEFINING THE NEED FOR PLACEMENT SLOTS

Youth corrections reforms aimed at reducing institutional populations take a variety of forms:

- The "Massachusetts" approach where the main focus of activity involves breaking down the institutions and much less initial emphasis is put on the creation of programs to replace them.
- The "Evolutionary" approach where alternative programs are created prior to the reduction in institutional capacity with the assumption that (over time) disposition practices will evolve to move children from the institution to the community program. (This method had mixed success when tried in Utah in the late 1970's in the initial CATY programs).
- "Management Planning" approaches which attempt to do both of the above more or less simultaneously.

Regardless of the timing strategy used, some basis for determining the number and distribution of each type of placement slot is needed. The manager's choices range from simply reacting to whatever placement preferences reveal themselves as the system operates, to formally modeling the need for slots.

This section illustrates a method to define aggregate placement needs based on the Utah data. It combines the objectives for the system (discussed in Chapter II), the disposition decision rules and delinquency patterns as defined by the snapshot and longitudinal modeling (supplemented with other analyses on recidivism), and an overall goal of operating within existing budget levels. The results of this modeling process are preliminary and it is presented as an example of how to apply quantitative methods to the resource allocation problem. It has not been fully implemented to the extent that placement resources have been completely realigned in conformance with the model, however, shifts in resources have occurred in conformance to its general principles.

A system-wide approach to placement resource planning must have three attributes:

- It must look at all levels. Various components of the youth corrections system interact with each other. Particularly if the youth corrections process is aimed at providing a mix or a range of programs suited to different delinquency patterns, steps in a delinquency career, etc., then a change in any one part of the system may have implications for all of the others. For example, development of new community based alternative program may result in additional referrals to the system of youths who might otherwise remain on probation rather than providing a resource for diversion of youths from institutional settings ("widening the net").
- It must be based on "live" data. Unless one can make generalizations about who goes where and under what conditions, then trying to plan is meaningless. The second criterion for placement planning is therefore to have information on the kinds of children that make up the caseload and that move through the system over time. The snapshot and longitudinal data can help provide this.
- It must be based on placement principles. This is not necessarily to say that the corrections system should provide a "recipe" in advance for how to deal with each individual child. If planning of any sort is to occur, however, it must be based on some general assumptions of how dispositions will be made. For example, it might be argued that probation or day treatment options should be the disposition of preference for all non-personal felony referrals under the age of 15; or, that a secure facility should not be the first out-of-home placement for a child except in the most extraordinary circumstances. These kind of general principles, coupled with the knowledge of how referrals are actually flowing through the system, can be translated into an assessment of demand for placement resources.

In the following three tables, these types of decision rules are applied to the available corrections resources to suggest a revised allocation of types of slots and finally a revised budget. Since the approach is presented for illustration purposes, several simplifying assumptions are made:

- Operational capacity for each level of care is assumed to relate to current needs - i.e., that the entire 1980 budget would be spent and that existing slot capacities are required under current disposition practices.
- The model ignores "secondary" recycling that may occur within the system. It is possible, for example, that some percentage of the reduction in YDC population that is reassigned to community programs will commit additional and/or more severe crimes and may eventually (appropriately) be recommitted to the YDC after a stay in community programs. The possibility of this occurring is ignored in the illustration, perhaps slightly understating the need for secure slots.
- It is further assumed that changing the level of restriction for a given child will not necessarily change his/her length of stay at the placement. In effect, this says that whatever observation can be conducted in a secure facility in 30 days could also be accomplished in 30 days in a community setting.
- An expansion capacity in the CATY type program is assumed to be available. Since the original CATY programs were started with a relatively brief lead time and at a cost of approximately \$30-\$35/day, it is assumed that if the state wishes to purchase further CATY-type services, a supply would rapidly become available.
- About 40% of the YDC's total budget is assumed to be fixed with about 60% varying based on the number of children in confinement.
- It is assumed that additional non-residential and foster care slots can be purchased at an average price of \$15 per day. This price was somewhat higher than current rates to offset shortages in foster care supply.
- Additional staff requirements to award, monitor and evaluate new contracts are not included.

Table IV.11 shows the 1980 distribution of the youth corrections budget. It provides for a capacity of about 390 children in placement at a cost of some \$5.4 million.

Table IV.12 proceeds a step at a time to review pertinent observations regarding the disposition practices that exist within the system (developed by the snapshot and longitudinal models), suggests planning guidelines based on the "least restrictive proved need for placement" philosophy discussed in Section II, and then suggests the impact on the placement system if these planning guidelines were applied. Thus, for example, if the planning premise were adopted that half of the children with no previous out-of-home placement record should be tried in a community setting prior to incarceration, then the need for secure commitment slots would reduce from about 72 to around 60. Similarly, in a step by step fashion, each level of the system is assigned a planning guideline and the direct and inter-level

Table IV.11

EXISTING DISTRIBUTION OF CORRECTIONS BUDGET

<u>Level</u>	<u>Existing Approximate Slot Capacity</u>	<u>1980 Budget Corrections (\$000)</u>
YDC (Regular Commitment and Observation)	102	\$2,350
CATY (Resident and Day Programs)	150	\$1,503
Group Homes (All Types)	143	\$1,550
Foster Care*	<u>N/A</u>	<u>N/A</u>
TOTAL CAPACITY	395	\$5,403

* Included elsewhere in social service budget.

Table IV.12
PROFORMA SLOT MODEL

Level	Comments/Observations	Potential Planning Guideline	Impact
YDC Regular	<ul style="list-style-type: none"> About 1/3 of YDC children have never been tried other than at YDC. (Some had been there several times). 	Half of the children with no prior out-of-home placement should be tried first in community program.	Would reduce secure commitment slots from 72 to about 60
YDC Observation	<ul style="list-style-type: none"> Observation children are very similar to those in CATY programs. Observation appears to have the least impact of any program on recidivism. YDC observation appears to be used proportionately much more as a 1st District placement and thus the absolute need for secure observation is conjectural. 	Try all of these children in the community first.	Shifts observation clientele to community programs (eliminate about 30 secure observation slots).

Table IV.12 (continued)

Level	Comments/Observations	Potential Planning Guideline	Impact
CATY	17% of CATY children show a worst crime less serious than a property felony or personal misdemeanor.	Those with a worst referral less than felony or personal misdemeanor should be referred to non-residential placements (some overlap probably exists with current CATY non-residential placement).	Eliminates 11 CATY residential slots Add (former YDC secure slots)- <u>12</u> Add (former YDC observ. slots)- <u>30</u> Add current CATY capacity- <u>150</u> Total CATY: <u>181</u>
Group Homes	Only half of group home children have been tried on probation prior to out-	Assume that at least half of those with no probation history should be in foster care or in community.	Eliminates <u>34</u> group home slots Total Group Home: 109
Foster Care/ Day Programs	New demand for these resources is derived from children moved out of more restrictive settings.		New demand: Add (former CATY slots)- <u>11</u> Add (former group home slots): <u>34</u> Total Foster/Day: <u>45</u>

impacts charted.

The budget implications of this reallocation of placement resources are shown on Table IV.13. The capacity remains the same, while the needed budget amount is reduced by approximately \$100,000 from the prior level. Given the deinstitutional emphasis of the planning principles, some 45 new day treatment and foster care slots would be needed to service children who would have otherwise been treated in a more restricted setting.

To the extent the corrections administrator can develop a quantitative method for defining what the system needs, implementing change may become easier:

- Deinstitutionalization debates can be forced into a more analytic (and less emotional and political) framework. Instead of having to rely on simple declarations of personal opinion (e.g., we need more jails, we need less jails, etc.) discussion can be refocused onto "cooler" topics (e.g., for planning purposes, should we assume that children ought to be tried on probation before they are removed from their homes, etc.).
- The administrator, to the extent he can control his budget, is put into the position of using supply to influence demand. By changing the availability of placement resources in a planned, public manner, he can influence disposition practices for the system as a whole.

This section has dealt with methodological issues of systematically evaluating how cases and costs flow through the juvenile justice bureaucracy. In the following chapter, we present insights developed in the Utah reform process on how to structure ongoing administration.

Table IV.13
BUDGET IMPLICATIONS OF SLOT MODEL

Level	Needed Capacity	Cost Basis	Predicted Annual Budget (\$000)
Secure Beds	60 slots	\$90/day (Assumes increased per diem due to fixed costs at YDC)	\$1,971
Secure Observation	0		0
CATY (residential & non-residential)	181 slots	\$30/day average (Current rate)	\$1,981
Group Homes	<u>109 slots</u>	\$28/day average (Current rate)	<u>\$1,114</u>
SUBTOTAL	350 slots		\$5,066
New day treatment & foster care	45 slots	\$15/day average (Increase from current rate)	\$256
TOTAL CAPACITY	<u>395</u>		<u>\$5,312</u>

Section V

ADMINISTRATIVE SYSTEMS AND PROCEDURES

Transition management in Utah occurred in a social and political atmosphere that necessitated deliberate movement to a community corrections philosophy. Institutional services could not be significantly reduced prior to the development of community alternatives, nor were dispositional practices within the juvenile justice system likely to be altered significantly until a range of community services were available and operating effectively. The community program network would have to be established and prove itself quickly, and be operated in a manner that would:

- Demonstrate a reduction in institutional populations without creating politically unacceptable levels of risk to the community;
- Prove to be as cost-efficient as institutional approaches; and
- Gain acceptance among Social Services and Court staff by demonstrating effectiveness in providing services to youth and protection to the community.

This section discusses methods for channeling political support and direction for change into a coherent administrative framework. As the deinstitutionalization process proceeded in Utah, the need became apparent to strengthen operational management in four basic areas:

- Management of Procurement - Given the need to rapidly create and coordinate a variety of new, community-based programs, a basis for deciding public versus private sponsorship of programs was required and a means was needed to structure procurement of community programs.
- Control of Referral Processes - As new program alternatives came on line, it became increasingly apparent that corrections management had to acquire increased, systematic influence over dispositions. This entailed both organizational changes to improve diagnostic and screening processes for out-of-home placements and strengthened information systems to aid in tracking referrals.
- Personnel Impacts - Existing institutional biases in the corrections work force needed to be overcome and attitudes supportive of the new community program emphasis had to be encouraged. This necessitated further review of organizational structures, as well as attention to career planning and training needs. A particularly divisive issue in

this area was the dismantling of unneeded institutional work forces.

- Review and Evaluation - Finally, given the shift of emphasis to private sector providers, means needed to be developed to provide for on-going assessment to assure the quality of services provided to youth in out-of-home placement, provide information to program operators on the performance of their organization, and to promote program understanding and effective utilization by placing workers.

In the balance of this section, the resolution of these issues in the course of administering the system through the period of transition is discussed, the techniques that were developed that may have broader application are summarized, and successes and failures are reviewed.

A. THE MANAGEMENT OF PROCUREMENT

1. The Decision to Purchase - To create an atmosphere in which dispositional practices could be altered and to make it logistically possible to reallocate resources, a decision on program sponsorship was needed. Utah opted to utilize purchasing from the private sector as the primary vehicle for the community corrections initiative. Purchased services appeared to offer the following advantages:

- Responsiveness - Because it was unrestricted by many of the bureaucratic limitations imposed on State operated programs (e.g., budgetary uniformity, purchasing procedures, merit system, etc.), the private sector could more quickly respond to the Agency's evolving definitions of community program needs.
- Lobbying Power - Since it was a large employer, the Youth Development Center had created constituencies in its community and the legislature. No such interest group supporting community programs was likely to come rapidly into existence if the State were to attempt to sponsor and staff its own programs. By making the intention to purchase corrections services known, an aggressive force of potential entrepreneurs, eager to sell the State community corrections programs, was quickly created. This counter balanced, to an extent, the YDC interests and gave further momentum to reforms in legislative forums.
- Service Variety and Innovation - Given the need for diversity and the desire to encourage new approaches, competition among vendors for corrections funds seemed to be the most effective means of stimulating creative approaches for dealing with delinquency. The public sector experience was basically in operating larger institutions and appeared more dependent on stable, sizeable client groups to justify treatment and supervision services. Private providers seemed better suited to operating a diversity of programs, each dealing with a very small number of children.

- Flexibility - The private vendors offered the State a capability to shift resources to adapt to changing situations. If, for example, it became evident that an additional group home was needed in a given area, one could be created rapidly through a bidding process. Trying to reallocate state-run activities in an analogous situation would be, in practice, extremely cumbersome.
- Political Consideration - Purchase of services from the private sector has the appearance of less government and fewer bureaucrats. The ability to place programs out to bid also suggests a capacity to obtain services at the lowest possible cost, making it somewhat easier to justify budget levels to the Legislature.

While private sector emphasis offered several advantages, the approach also involved problems that required management attention in implementation:

- Staff Resistance - State staff often perceived private sector programs as diverting potential job opportunities away from the state merit system. While resistance was diminished by a requirement that the programs give a hiring preference to qualified state staff, the loss of possible job opportunities may have contributed to general resistance to the new programs.
- Management Control - The development of 140 new placement slots (almost doubling community program capacity) created significant management demands for monitoring contract compliance and evaluating program performance. Additional staff and improved procedures would be required to help assure program quality and credibility within the system and in the community at large.
- Availability of Providers - Development of new programs by the private sector assumes the existence and availability of organizations capable of offering services. Although this problem tended to become less acute as the community program direction became better established and state workers began to leave the security of merit positions within the system, the lack of qualified providers can create a critical risk of inappropriate concentrations of programs offered by small groups of private organizations.
- Legal Considerations - Although community programs are by definition not secure, physical control over participating youths (in preventing AWOLS or controlling violent behavior) may raise due process questions. While the issue becomes more paramount in considerations to offer operation of secure programs to the private sector, it was never clearly resolved even for community programs.

2. Purchasing Criteria - To select providers, proposal solicitations were developed which attempted to build on the strengths of the private sector while recognizing some of the inherent management control problems (see sample RFP, Appendix A). The solicitations tried to encourage:
 - a. Linkages to Community Resources - Programs that were able to demonstrate links to community recreational, cultural and educational resources were given preference.
 - b. Non-Corrections Funding Sources - The procurement specifications motivated vendors to demonstrate sources of revenue to supplement corrections funding. This was encouraged both to give corrections a "better buy" and to assure that other agencies would also be concerned with program performance and thus enhance surveillance and quality control.
 - c. Experienced Employees - Credit was given to bidders who could offer staffs with previous experience and/or education in dealing with youthful offenders. This promoted the flow of staff from the state system to the private sector, thereby improving program credibility and acceptance with court and corrections line staff and (incidentally) helping ease the personnel transitions caused by the eventually reduced need for institutional staff.
 - d. Cost/Quality Tradeoffs - While price was considered important, it was never a dominant purchasing criterion. Service price usually represented 20% of the rating, qualifications of the bidder and his/her staff 30%, and quality of the proposed approach 50%. This ranking scheme was intended to emphasize competition among providers based on the quality of service to youth and to discourage "price wars" that could damage program content while favoring larger providers or unscrupulous program operators.
 - e. State Influence Over Admissions Policies - The solicitation required that the offeror be willing to accept a specified percentage of all referrals to the program. This process afforded the program the opportunity for some selectivity to assure its desired child mix, but also insured that the state retained authority to ensure slots for the hard-to-place child.
 - f. Payment Incentives - Traditionally, many private social service programs had been reimbursed on a fixed price per unit basis, e.g., \$30/day per youth served. This form of reimbursement had the potential to encourage programs to retain children longer to maximize revenue. Other programs were paid on a cost-of-service basis; i.e., they were reimbursed for the cost of providing the program up to the contract limit. As noted in Section IV, this approach creates an incentive to refuse admission to "difficult" youth and to be less concerned about operating at program capacity. To resolve this apparent conflict between the state's need for responsive programs and the providers desire for secure and stable funding levels, the solicitation provided a further incentive for accepting and retaining youth in programs by

guaranteeing 50% of the contract on a "cost of program operations" basis and providing the remaining 50% of the contract amount on a per diem basis. This approach was intended to blend the strengths and weaknesses of both the fixed price and the cost reimbursement methods.

g. Flexible Program Content - While detailed specifications were provided for most programs, in some cases program descriptions were less explicitly defined to encourage innovations in program design.

3. Proposal Evaluation - Placing purchasing and administrative authority in the same group of decision makers creates natural conflicts. It is inherently difficult for a state agency to be responsible both for working cooperatively with contractors to assure effective performance in existing programs, and to periodically make purchasing decisions that may eliminate vendors. Such situations tend to compromise both procurement and contract management. The process established for reviewing proposals was therefore designed to preserve the agency working relationship with the providers by insulating Youth Corrections administration from the process of proposal evaluation while preserving its statutory responsibility to ratify final decisions on contract awards. The evaluation process was also designed with the recognition that little or no management information existed on individual providers and that the state lacked comprehensive standards for many community programs.

Proposal evaluation proceeded as follows:

- a. Proposals were categorized into groups according to the general type of program for which bids were solicited, i.e., group homes, day treatment, etc.
- b. A five-member independent evaluation team was established for each category. Individuals participating on each team were selected so that the region of the state to be served by the program would be represented. In addition to geographical representation, representatives of non-corrections agencies within the juvenile justice system (probation, court intake, etc.), as well as individuals from outside the system (university faculty, concerned citizens, etc.) were asked to participate. A technical advisor from the Youth Corrections office was assigned to assist each review team. This approach was intended to foster participation and understanding between the group with formal placement authority (the juvenile court) and the agency charged with allocating and managing resources (Youth Corrections). The outsiders offered an opportunity for a fresh perspective, community involvement, and a hedge against internal biases. All evaluation team members were unpaid.

In addition to providing the administrative advantage of separating procurement from contract administration, this method of evaluation also provides a degree of political legitimacy to corrections resource allocations. Since the evaluators were generally informed and had no connection with managing the corrections system, both

the appearance and the reality of open competition were maintained. These procedures, while leaving the procurement ground rules under the control of youth corrections administration, makes it more difficult for losing vendors to challenge the fairness of the process.

- c. A session was conducted for all review team participants to explain the process. Afterwards, they were given the proposals to be reviewed and were oriented to a rating form which provides for the various factors of quality, qualification, and cost. The detailed rating criteria are presented in Appendix B.
 - d. Evaluation team members were then allowed time to individually review and rate each of the proposals. Each rater submitted his/her rating of the written proposal to the team's technical advisor prior to any discussion with other team members.
 - e. Oral interviews were scheduled for each offeror with the rating team. Each offeror was given the opportunity to present a review of the proposal and to respond to questions from the rating team.
 - f. Following the oral interview, the evaluation team members were given an opportunity to discuss the proposal prior to again individually rating the proposal based on the oral interviews. These rating sheets were submitted to the technical advisor. At the conclusion of the interviews, the evaluation team was dismissed. They were not requested nor permitted to make a consensus recommendation as to the rankings of the proposals.
 - g. The rating scores were then compiled, giving a 60% weight to the written proposal and a 40% weight to the oral interview. After establishing the rankings, the contract was awarded to the offeror with the highest score unless the Youth Corrections could justify not awarding the contract to that particular offeror because of some overriding policy concern.
4. Contract Award - The state administrative office typically reviews various policy considerations before making the final contract award. Two primary considerations have been efforts to:

- Encourage Provider Diversity - To the extent a given provider were to grow and become dominant in providing a given type of care or "vertically integrate" and attempt to provide a multi-level continuum of services (e.g., ranging from day treatment to secure care), the risk is created that a privately-run institutional bureaucracy would tend to be substituted for the State-sponsored one. The larger a given operator becomes, the greater is the possibility for the development and undue exercise of independent political influence over the corrections system. Competition within the private sector can only be preserved to the extent a number of potential providers is available. As with other management criteria, no single "right" answer exists for the question of provider diversity. Larger providers may be

able to deliver more sophisticated and diverse services to a given individual. Their size may make possible some economies of scale and allow them to better manage their programs. Smaller vendors may be more innovative, responsive to the state, and more conducive to the maintenance of true "buyer-seller" relationships. Both have their strong and weak points.

In practice, the natural tendency in several states has been for the formation of a limited number of large vendors. In Utah, it has, therefore, been occasionally necessary to include maintaining provider diversity as a criterion in award decisions.

- Promote System Stability - The number and size of contracts awarded to new program operators in the youth care field is limited until a proven track record is established. The interests of the system are not served by excessive turnover among providers.

The procurement process discussed above has been successful in providing a reasonably diverse and flexible program network for youth corrections services. While its advantages for any given program may quickly erode if the program is not closely monitored by the State, the ability to annually re-bid provides an effective means of responding to program burn-out.

The present process is not without its critics. Perhaps the most significant type of objection to this method of purchasing services in Utah has been the necessarily subjective manner in which the selection process defines need, and weighs quality and experience. While occasional appeals of contract awards and bickering among providers has resulted in delays in the start-up of some programs, the efficacy of the present process has not been successfully challenged in a formal hearing. It is expected that these problems can be reduced as better and more consistent management information is made available upon which to evaluate programs, e.g., comparative run rates, recidivism, educational performance, etc.

B. CONTROL OF REFERRAL PROCESSES

The referral process is the key control point for assuring that community programs actually serve as alternatives to secure confinement rather than simply expand the client population. In Utah, where the intake, probation, and disposition functions are placed within the juvenile court, while corrections program responsibility exists within the State Department of Social Services, maintaining clear case accountability and effectively "managing" referrals are continuing challenges. As a result of this organizational structure, disposition planning and resource allocation/management are not necessarily rooted in the same philosophical bases nor established with consensus priorities.

Accountability was strengthened in 1979, when, at the urging of the Board of Juvenile Court Judges, the Governor directed the Social Services Department to administratively consolidate youth corrections programs into a new

division with line authority to manage institutional and community-based correctional programs for delinquents. This arrangement facilitated planning and coordination efforts between Youth Corrections programs and the Juvenile Court by creating a single point of contact. Of equal significance was that the order tacitly acknowledged that seriously delinquent youth should be provided different treatment than status offenders. Finally, the order strengthened the philosophical basis for creating community options to secure care. Within this changing pattern of organization and influence, the referral process has gone through three distinct phases:

1. Informal Screening - Initially, no attempt was made to screen referrals for community programs. Admission was based on ad hoc, informal criteria. Perhaps not surprisingly, as Utah added about 140 "CATY" program slots targeted to serve as an alternative to the State's secure facility, the initial impact on the secure confinement population was negligible. The growth of the alternative program enrollment was not matched by a reduction in the Youth Development Center population. An analysis of referrals revealed the involvement of a variety of agencies in the placement process with no set policy or agency accountable for establishing priorities, procedures, etc. The message is clear - simply creating a community program does nothing to guarantee it will be used as an alternative to secure confinement. It may, in fact, act only to "widen the net" by bringing children into corrections placements for which there would not previously have been room. To assure that community programs really serve as "alternatives", more active intervention in the referral process is needed.
2. Creation of Screening/Diagnostic Functions - In the second phase of rationalizing referrals, Youth Corrections formally established a placement team with the specific responsibility to work with the court probation and intake staff to evaluate community placement possibilities on a case by case basis. The screening and placement process involved two critical steps:
 - If, after reviewing a case, an individual probation officer felt that his/her recommendation might be commitment to the YDC or a CATY program, the officer was then responsible to present the case to a screening team comprised of management staff from the probation unit and representatives from the youth corrections placement team. Based on the offense record, the screening team determined whether or not the youth was a serious delinquent and therefore appropriate for possible YDC or CATY placement.
 - If the joint screening team determined that the youth was seriously delinquent and possibly appropriate for commitment to YDC, the youth corrections placement team was then responsible for evaluating community placement alternatives. As can be seen from a profile of those youth in community alternative programs versus those in the YDC, the formal diagnostic and screening approach appears to have helped insure that alternative programs actually served youth who otherwise would have been committed to the YDC.

	Avg. Age	Avg. Length of Stay	% Personal Felonies	Avg. Number of Felonies	Pre/Post Crime Rate/1000 Days
YDC	16.6	8 months	53%	5	10.02/6.18
Alter-natives	16.4	12 months	34%	4.6	8.42/3.73

Interposing Youth Corrections personnel in disposition decision making finally resulted in the CATY programs functioning as true alternatives. The placement process resulted in a rapid reduction of the YDC commitment population from an average daily population of 180 to a census of about 80-90. However, this process was still largely dependent upon the energy and impact of a limited number of individuals. The various components of the juvenile justice system were still not committed by common purpose or philosophy.

3. Formal Referral Procedures - The third phase in the development of the placement process has been an effort to develop guidelines to formalize the criteria established by the placement team. These guidelines (see Appendix C), which have been ratified by the Juvenile Court System and the Department of Social Services, reiterate the State's commitment to the least restrictive placement whenever possible. If strictly followed, they would result in about 1% of all referrals to juvenile court being committed to secure confinement, and another 4% being referred to Youth Corrections for out-of-home placement in a community alternative program. The procedure requires individual recommendations and rationales from the probation officer and the Youth Corrections agent, as well as a consensus placement recommendation from the two agencies. This process, scheduled to be implemented Statewide in April of 1981, has received the full support of the Board of Juvenile Court Judges and will be mandatory for placement recommendations presented to them.

In an effort to further establish a system-wide referral philosophy and commitment to community alternatives, additional steps have been taken in areas of:

- Program Allocation - As resources have been relocated based on the origin of the youth being served (e.g., see IV.A.1), the Juvenile Court has been brought into the process of planning slot allocation. An effort to distribute resources to court districts in proportion to their case loads has necessitated that court staff become oriented to the importance of understanding the cost consequences of various dispositions and the limitations on Youth Corrections's total resources.
- Criteria for Youth Corrections Clients - Maintaining the distinction between delinquent children and other troubled youth was necessary to insure that the CATY alternatives primarily serve seriously delinquent youth. Without such

limitations, it has been found that the status offenders will tend to fill all available program slots.

- Single Point Coordination of Referrals was established for each Juvenile Court district in an effort to be consistent with the regional screening processes established by the guidelines. This assured that accurate program enrollment information was readily available to allow a rational matching of children needing placement to available slots.

The guidelines have provided a means for the court and Youth Corrections to jointly establish policy on dispositions. It is too early to tell whether such an approach can fully solve the coordination problems created by the organizational separation of the court and corrections.

4. Continuing Issues - Although the CATY programs are now functioning as an "alternative" to secure commitment and the YDC has become dramatically smaller, major issues and debates remain unresolved, including:

- Does a sound basis exist for secure observation? While the program is inconsistent with a "least restrictive" philosophy, is expensive (at least on a per diem basis), and of questionable value in effecting outcomes, several judges continue to give it considerable use. Some type of Youth Corrections control over these short-term commitments or elimination of the program entirely may be warranted.
- What should be the role for (non-CATY) residential and parenting group homes? While emphasis to date has been primarily on the interaction between YDC and community alternatives, much evidence exists (e.g., the high fraction of group home residents with only minor offense records and no evidence of probation prior to out-of-home placement; See Section IV) to call into question the placement practices for this level of the system.
- Given the improving cooperation that has developed between the court and Youth Corrections, should the State make a further organizational consolidation and place probation and corrections in a single administrative unit or, go even further, and create a Youth Authority?

While substantial progress has been made in rationalizing the referral process, much remains to be done. The challenge of administering referrals in the early 1980's will be to match the progress made in reforming the system in the late 1970's.

C. PERSONNEL IMPACTS

1. The Shock of Reform - In the early stages of reform, much of the initiative for change came from the highest administrative levels,

with little input from line staff. Consensus was sought only from the key decision makers, i.e., judges, legislators, executive administrators. Because of the scope of the changes and the fact they tended to occur in adversarial settings, it was not often possible to involve line staff in the development of common philosophies and the planning of system directions. It was, therefore, not long before many line individuals began to feel victimized and to resist change. This resistance was particularly strong among the YDC staff and occurred to a lesser degree among those responsible for monitoring and directing the flow of youth through the system (those charged with serving as technical resources to community programs, as well as among corrections social workers). Some level of disaffection among line staff is unavoidable in a period of rapid reform since:

- As a practical matter, they cannot all be involved or consulted in the development and initiation of early deinstitutionalization plans.
- The creation of community programs was intended to result in a concomitant reduction in the YDC staffing needs. Many individuals opposed the wind-down of a program in which they had made a career investment.
- The case management/social worker staff tended to resist the private sector entrepreneurs who had developed the new programs with claims of greater flexibility and cost savings, using the "entrenched and expensive state employees" as the comparison.
- Over the years, the role of line social workers had become burdened with much concern over fiscal accountability for the clients referred to various service programs. The deinstitutionalization effort had the effect of adding to what was already an intolerable paperwork load.
- Within youth corrections, community programs were originally developed and funded by one branch of the organization while another branch supervised the staff who were responsible for contract management, bill payment, and initial placement of children. As the system grew more complex, program operators became critical of line case workers, while, in turn, case workers grew critical of the frictions generated by the community programs.

Inadvertently, the reforms had placed some of the corrections staff in untenable positions. The purchased services concept meant that their time was being increasingly consumed by processes such as invoice approval and payment eligibility determinations for placed children. They were being required to support a philosophy of deinstitutionalization that they had not helped plan, and to support, manage, and to be accountable for community-based programs that they often resented, did not understand, and over which they had little real control. Similarly, the staff of the YDC were being asked to provide high quality, humane services to highly distressed children,

while the institution was routinely being publicly described as ineffective, uncaring and inhuman.

While more effort at reaching consensus and communicating expectations may have been (in retrospect) desirable, the Utah experience shows that organizational damage unavoidably accompanies reform. From the experience, two clear lessons emerge. First, that while extensive planning of all of the implications of reform may be impossible, at minimum, care should be taken to forecast and mitigate where possible the impact on the job content of the individual line worker. Secondly, the least painful changes are probably those that occur most rapidly - reforms should be put in place as fast as is politically possible.

2. Recovery and Maintenance - By late 1980, the administrative emphasis had shifted from the process of implementing change to the process of maintaining and upgrading the new mix of programs. Extensive efforts were required to help the staff catch up with the system and to replace those who were not capable of coping with change. If reform is to have permanent beneficial impact on the system, support must be generated within the line staff responsible for the day to day management of resources. The following steps have been or are in the process of being implemented to assure line involvement and support of the Youth Corrections programs;

- The agency was reorganized from a functional to a geographical basis. Single regional administrators were appointed in various areas of the State and given total responsibility for all corrections programs in their geographical areas, including case management staff, administration, relations with service programs, operation of diagnostic programs, etc. This provided each regional grouping with a common mission and increased involvement in planning for all parties. It also significantly reduced disputes over "controlling turf".
- Roles of case work staff were altered. Bill payment processes are now being centralized, a statewide certification for community programs is being established, and supervisors are being assigned responsibility for monitoring individual programs within their region.
- With the realignment of responsibilities discussed above, line staff have been freed to become more involved in the provision and management of treatment services. The concept of a "case manager" is evolving. New standards have been established for the services provided and for support to the case managers. These emphasize treatment and termination planning for the corrections children. Previously, most attention had been focussed on assuring that appropriate youth were placed in available programs. Little useful planning was done regarding the treatment needed or for follow-up subsequent to completion of a program. As a result, "problem" children were often prematurely removed

from programs, while relatively docile ones stayed unnecessarily for extended periods of time. The re-definition of the case manager's role has been designed to insure that the youth are moved through the system to the appropriate levels with the case manager providing treatment continuity. In addition, the case manager's direct involvement in programs provides an informal quality control mechanism. Previously, most programs operated with no regular contact or involvement with Youth Corrections. Children frequently did not know they had a case worker, and the quality of service in programs at times deteriorated to unacceptable or abusive levels before being brought to the State's attention.

- Formalized training programs have been established to not only better orient staff with new policies and procedures, but also to bring them up to date with the current corrections literature. Training is being conducted on a system wide basis, involving youth corrections workers, juvenile court staff, county detention staff, and the staffs of the private vendors, in an effort to further develop recognition of shared problems and commitment to mutual goals.
- Planning task forces have been established to articulate future plans of youth corrections with representative input from all portions of the system.

The organizational changes have begun to create an atmosphere that encourages communication and more effectively distributes responsibility. The planning and training efforts are intended to provide a forum for improving philosophical and policy approaches to youth corrections. As is the case with the referral system changes, a full assessment of the effectiveness of these personnel system modifications is not yet possible. An adequate perspective will not be available for several more years. In general, however, just as disruption is an unavoidable consequence of reform, a conscious attempt to heal the personnel system problems caused by change is a valuable way to rebuild and strengthen the system that emerges.

D. REVIEW AND EVALUATION

Replacing major segments of a state-operated, institutionally-based corrections system with a network of private vendors creates challenges in affixing and assuring accountability for children while in placement, developing and maintaining quality standards for program performance, and promoting the most appropriate assignment of children to treatment programs. Evaluation needs in three basic areas are created:

- Periodic evaluations of procedural compliance with various contract obligations for program operations, reporting, record keeping, fiduciary performance, and health and safety (licensure) standards.

- Management information system reporting oriented to socio-demographics, delinquency history, and prior placement records data (as described in the snapshot and longitudinal modeling discussions in Section IV).
- Episodic program and "problem" oriented reviews of workers' impressions of vendor effectiveness, "self-criticism" of the youth corrections system, and evaluation of the functioning of individual programs.

While the de-institutionalization initiatives stimulated improvements in each of these areas, the methods of most general interest were those developed for internal review of the corrections system and for program analyses.

1. Corrections System "Self Assessment" - The individual corrections worker is a major information resource on both the observed performance of individual vendor programs and on the overall functioning and effectiveness of the youth corrections system. Because of their influence over dispositions, they help create the "demand" for placement resources and are central to the management of children in out-of-home placement.

In addition to periodically sampling corrections staff opinions on individual programs, it was therefore appropriate during the reform process to ask line staff to evaluate the structure and effectiveness of youth corrections management. With this objective, an open-ended questionnaire was distributed to all workers with corrections responsibilities. The survey asked the staff to "unload" on such topics as:

- The purpose and duties of their job;
- The information and communication needs their position entails;
- An assessment of their personal effectiveness and discussions on any barriers that prevented them from being more effective;
- The competence of the youth corrections administration in planning, problem solving and managing its resources; and
- Suggestions for structural and organization change.

A copy of this questionnaire is included as Appendix D.

The response to the survey (which was totally voluntary with the confidentiality of individual answers guaranteed) was excellent with about two-thirds of the total workers in the system responding, some in great detail. Given that the corrections system was in the midst of transition, the preponderance of the comments and recommendations understandably related to concerns over the direction of the system, the need for improved communication and understanding of corrections priorities, the ability of the newly reorganized system to provide reasonable career paths and continuity (particularly to senior workers), and the need for youth corrections to develop a more

directive, less defensive relationship with the court and social services bureaucracies.

While these results were not really a surprise to youth corrections management, they were useful to provide a framework for the process of integrating the staff into planning processes and for setting training and development agendas. Since the comments were collected by unbiased outsiders and fully reported in planning and training sessions, they provided an opportunity for honest and sometimes harsh criticisms to be made of corrections management processes without personal risk to the commenting individual. This provided an opportunity to "clear the air" of many of the lingering concerns and resentments that accompanied the early deinstitutionalization initiatives. It facilitated the gradual improvement of the personnel system.

This general process of candid appraisal of the strengths and weaknesses of the system, communicated openly, has application to other situations. It represents a very low cost, structured way to assure that concerns of the workers are communicated to management and to each other in a controlled form. It is the type of activity that is appropriate to be repeated, perhaps annually.

2. Program Function Reviews - The evaluation of individual, privately sponsored youth corrections programs is a complex process in terms of developing reasonable standards of performance in executing the evaluations on a fair and consistent manner, and in assuring that the results of the reviews are communicated and put to use to improve placement decision making and program management. As noted in Section IV, no single (or small set of) statistics can be fully reliable in differentiating "good" from "bad" vendors. Each program must, to an extent, be reviewed on its own terms. Also, practicality dictates that evaluation processes should minimize the creation of added paperwork burdens on vendors and be accomplished with minimum disruption to their operation.

A method used with some success in Utah involved visits to corrections programs by a team of three interviewers for the duration of approximately one-half day. The goal of the visit was to determine the answers to three basic questions:

- What was the programs treatment objective and approach?
- Was the program encouraging community linkages?
- Was a conscious and consistent attempt to manage the program's "social climate" in place?

Discussions of each of these major issues follows below. The survey instruments used for developing the information are contained in Appendix E. The authors are indebted to Dr. Robert C. Coates of the University of Chicago for his assistance in developing these concepts during their initial application to the Utah programs in 1980.

- a. Program Approach - Given the large number of youth corrections program vendors operating in the system, the diversity in their

program emphasis, and the unavoidable difficulties in developing a working knowledge of the range of placement alternatives for the individual worker, the initial step in program reviews was to develop consistent descriptions of how each program operated and to distribute this data throughout the system. This was accomplished through a staff questionnaire (Appendix E) administered to each program treatment houseparent or staff person during the site visit. Information was systematically collected regarding:

- Facilities;
- Staff organization, background, and relationship to program administration;
- Program structure, including:
 - Staff relationship to children
 - Restrictive policies (unsupervised time, contact with friends, etc.)
 - Staff contact with parents, school officials, etc.
- Types of children considered most and least appropriate for the program; and
- Insights into treatment priorities and therapeutic models.

These data were synthesized to form brief, 3-5 page overviews of programs for distribution to placement workers. While primarily descriptive in nature and keyed to treatment personnel's perception of the programs (as opposed to the views of their administrators or the children in custody), the process increased understanding within the corrections system of the range of resources available.

- b. Community Linkages - A major priority in the development of "community based alternatives" was assuring that the new programs were encouraging and maintaining ties to their local community. The purpose of the reform would be defeated if it only served to trade large jails for smaller ones. Community linkage was defined as the extent to which youths had access to normal community activities and contacts, measured both in terms of independent and staff supervised opportunities. This information was developed via the Youth Questionnaire (Appendix E) based on interviews conducted with each child present during the site visit. Table V-1 summarizes the linkage results for the group homes.

While the summaries of total and supervised/unsupervised community activities are admittedly a somewhat arbitrary means of comparing linkages, some overall patterns emerge. All of the programs provided a core set of supervised community activities. The availability of unsupervised activities, however, showed much more variation. For example, the parenting model homes, in general, provided substantially more "free" time to children in custody than the treatment homes. The questionnaires thus provide both information on the kinds of activity options typically open to children in placement and also roughly measure the degree of attainment of the community linkage objective.

TABLE V.1
Community Linkage (Continued)

Activities	Parenting Homes					Residential Treatment Homes							
	Kearns Middle	UTAH BOYS RANCH Kearns West	Kearns East	Kearns Sandy	Orem	HERITAGE BOYS RANCH Birdseye	Fairfield	Rush Valley	ARTEC Nibley	Highland	Belmont	Odyssey	Pine Canyon
Attend School Events Independent		Yes	Yes		Yes	Yes							
Attend School Events Supervised	Yes	Yes	Yes			Yes		Yes		Yes		Yes	
Public School (Independent)	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes					
In-House School (supervised)									Yes	Yes	Yes	Yes	Yes
Tutoring (Formal)						Yes			Yes	Yes	Yes	Yes	Yes
Vocational Ed (External to Program)													
Therapy External						Yes	Yes						
Drugs or Alcohol Therapy (Internal to Program)												Yes	
Drugs or Alcohol Therapy External													
Have Paid Jobs in Community						Yes							
Total Supervised	6	6	6	4	5	5	5	5	5	6	5	7	5
Total Unsupervised	1	2	3	1	5	4	1	1	4	2	0	1	2
Total	7	8	9	5	10	9	6	6	9	8	5	8	7

c. Social Climate Management - The third major area of evaluation was the management of the social climate within the facility. This was reviewed both in normative terms and in light of the degree of apparent control (as measured by the degree of consistency in responses to a common set of questions) exhibited by each program.

The normative measurement assumed that a healthy social climate was one that encouraged:

- Communication, as measured by the degree to which communication with individuals outside of the placement setting is allowed or encouraged;
- Shared Decision Making in terms of the amount of control which residents could exercise over their environment, both within and outside of the home.
- Positive Control Methods determined by the extent to which residents' behavior was controlled through reward and approval versus threats of force, force itself, or reducing access to social contacts, e.g., being sent to detention or YDC.
- Child's Perception of Fairness - The degree which residents believed the staff to be fair and consistent in their dealings with the residents.

This information was elicited via the youth and staff social climate questionnaires (Appendix E). Table V-2 summarizes the children's perception of social climate for each home. A plus sign (+) indicates homes where aggregate responses appeared to be significantly more favorable and a negative sign (-) indicates the homes responding significantly less favorably than the mean or norm of the other homes. This is not intended to be a vigorous statistical depiction of response.

In summary, the children's responses in three of the homes (Odyssey Adolescent Center, the Belmont ARTEC for older boys and the Orem Boys Ranch) were consistently more favorable regarding the social climate and linkages than in the other homes. These homes were perceived by the residents as less restrictive, using fewer negative controls and being more fair than the other homes. The less favorable responses were in the Pine Canyon Boys Ranch, Rush Valley Boys Homes, Utah Boys Ranch (Sandy), Utah Boys Ranch (Kearns West), and the Heritage Boys Ranch (Fairfield). The evaluation approach was thus able to make normative distinctions among the social climates in the various facilities from the child's point of view.

A second type of distinction involved reviewing how closely the children's perception of what was happening in the program matched the view of the staff. Regardless of the normative "health" of a program's social climate, the extent to which it provided an environment that was understandable in common terms to both

Table V-2

Responses to Social Climate Questions

Questions	UTAH BOYS RANCH					HERITAGE BOYS RANCH			ARIEC				Pine Canyon
	Kearns Middle	Kearns West	Kearns East	Sandy	Orem	Birdseye	Fairfield	Rush Valley	Nibley	Highland	Belmont	Odyssey	
Staff members keep you informed		-						-					-
Staff is more concerned with control	-		+				-				+	+	-
Staff will punish kid		-					-					+	
Staff makes changes without consulting kid					+	-						+	
Kids reward others for good behavior							-				+		
Kids share in program decision	-										+		
Staff reward kids for good behavior	+			+									
Home split into staff verses kid		-		-	+						+	+	
Kids have own set of rules						+	-	-				+	
Kids punish each other							-						-
Kids help orient new kids													
Staff tells kids he had done well							-	-					

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(No Significant Difference)

Table V-2 (Continued)

Questions	UTAH BOYS RANCH					HERITAGE BOYS RANCH			ARTEC				Pine Canyon
	Kearns Middle	Kearns West	Kearns East	Sandy	Orem	Birdseye	Fairfield	Rush Valley	Nibley	Highland	Belmont	Odyssey	
Kids tell you if you mess up				-									
Outside kids look down on program kids		-		+								*	
Kids push each other around		-			+		-					+	-
Kids just doing their time				-									
If kid does well other kids say so				-			-		+	+	+		-
Rules are fair				-	+			-				+	
Kids spend alot of time on outside						-		-				+	
Staff help kids get jobs, etc.		+	+	-	+				+				
People on outside don't help kids				-	-								
Kids can plan their own future									+	-	+	+	+
People outside punish kids				+	+		-						-

* Youth's undecided or unsure.

Table V-2 (Continued)

Questions	UTAH BOYS RANCH					HERITAGE BOYS RANCH			ARIEC				Pine Canyon
	Kearns Middle	Kearns West	Kearns East	Sandy	Orem	Birdseye	Fairfield	Rush Valley	Nibley	Highland	Belmont	Odyssey	
People outside support kids													
Kids blend into community				-			+						
Kids have different rules for teachers, etc.				-				-	-				
Outside people concerned with control		-	+			-							-
Real friends are hard to find in homes		-											-
Staff deals fairly							-	-			+	+	
Other kids beat you up							-	-					-
I fit in here		-		-	+						+	+	
Total positive (+)	2	1	3	4	8	1	1	0	3	1	10	12	1
Total negative (-)	3	9	0	10	1	4	11	8	2	1	0	1	10

children and staff was viewed as one measure of how well it was being operated. To accomplish this, the children's aggregate responses to the social climate questions were correlated to the staff responses. Thus, for example, situations where social climate variables, as reported by the children, were substantially different from similar variables, as seen by the staff, would serve as indications of possible inadequacies in program control.

- d. Program Review Conclusion - As has been suggested several times previously, no single piece of data provides an adequate basis for establishing how well a program is performing. However, when performance data is maintained along multiple dimensions, patterns may emerge. In the Utah experience, for example, while no such program uniformly scored best or worst in all categories, some fairly clear patterns were observed. The programs that had the poorest and most controversial social climate results also tended to be in financial difficulties, show relatively unfavorable recidivism outcomes, exhibit poor staff morale, have more complaints of abusive treatment, etc.

The lesson to be drawn from this Utah experience for application to other systems appears to be that:

- While no one method of formal program review is entirely adequate, a mix of approaches may provide the data to allow a "weeding out" and strengthening of the vendor system.
- Reviews may be effectively conducted using data developed directly from interviews with the children in custody. Properly conducted, they are potentially among the most valuable sources of information on program functions.
- The review criteria should relate specifically to the correction system's overall objectives. For example, if community linkage is of value, specific methods and criteria for measuring program performance should be developed.

This material on program evaluation is intended primarily to illustrate examples of possible approaches and to demonstrate its potential usefulness. A detailed description and analysis of program evaluation and discussion of the application of results to procurement and contract administration is beyond the scope of this paper.

APPENDIX A

CONTINUED

1 OF 2

REQUEST FOR PROPOSALS
FOR
COMMUNITY BASED ALTERNATIVES
FOR
DELINQUENT YOUTH

Utah Department of Social Services
Youth Corrections
August 1980

1.0 PROBLEM STATEMENT

Youth Corrections is responsible for supervision and treatment of seriously delinquent youth committed to its custody by the Juvenile Court. The cost of supervision and treatment in an institutional setting is often high in both economic and human terms.

Accordingly, Youth Corrections has attempted to limit the use of the Youth Development Center (YDC) for youth who:

- Pose a danger of serious bodily harm to themselves or others which cannot be averted in a less secure setting; or
- Have engaged in a pattern of conduct characterized by persistent and serious criminal offenses which, as demonstrated through use of alternatives, cannot be controlled in a less secure setting.

In lieu of institutionalization or following release from the YDC, Youth Corrections requires community based alternative programs which maximize utilization of family and community resources and which emphasize the development of vocational, educational and social skills necessary to function adequately in society.

In addition, community alternatives are utilized by Youth Corrections for youth who are in need of a more structured setting than home or foster care can provide. This has traditionally been in the form of group homes for "front-end kids," i.e., those who have not yet required placement at YDC.

2.0 PROGRAM OBJECTIVES

2.1 It is the objective of community based alternative programs to provide treatment and supervision for youth who would otherwise be committed to or continued to be held at the YDC, and to thereby reduce and/or maintain the reduction in population at the YDC.

It is also the objective of Youth Corrections to provide alternatives for youth who need structured care, and in a preventative sense, attempt to maintain behavior so that future commitment to an institution does not become necessary.

2.2 It is the objective of community based alternative programs to provide treatment and supervision of seriously delinquent youth in the least restrictive, most normalized setting possible consistent with public safety.

2.3 It is the objective of community based alternative programs to provide treatment and supervision in the most cost-effective manner possible.

2.4 It is the objective of community based alternatives to provide treatment in the community of origin of the youth to the extent possible.

3.0 GENERAL OVERVIEW

3.1 This request for proposals involves residential, day treatment and family treatment slots assigned to four separate geographical regions for which bids are being sought. Each program is described in detail in Sections 8 - 12.

3.2 Each proposal is subject to specific requirements for the individual program as detailed in Sections 8 - 12, and to the general requirements contained in Section 7.

3.3 An offeror may bid on more than one program or selected number of slots in different geographical areas, but a separate proposal must be submitted for each program.

Where multiple proposals are submitted, the offeror must indicate how the budget for each program will be affected if an award is made for more than one program.

3.4 Contracts awarded for these programs will be for a period of six months, beginning January 1, 1981 and ending June 30, 1981 with two exceptions.

THE DAY TREATMENT PROGRAM AND THE CAROUSEL PROGRAM MUST BEGIN OCTOBER 1, 1980 AND WILL CONTINUE UNTIL JUNE 30, 1981.

However, all contracts will be eligible for a renewal for three additional periods of twelve months without further public bidding at the discretion of Youth Corrections.

3.5 Reimbursement under the contracts will be made on a "cost-of-service" basis, with payments made by Youth Corrections in monthly installments based on actual costs up to 50% of the contract limit. The remaining 50% will be reimbursed on a unit cost basis, to be paid monthly after proper notification and verification of costs and youth served.

4.0 PROJECT OFFICER

Russ Van Vleet, Assistant Director of Youth Corrections, will act as Project Officer for the program. Further information concerning this request for proposals may be obtained by writing or calling:

Russ Van Vleet, Assistant Director
Youth Corrections
150 West North Temple, Suite 370
Salt Lake City, Utah 84103
Telephone: 533-5290

5.0 SUBMISSION OF PROPOSALS

5.1 Eight copies of the proposal must be received by the State Purchasing Department, State Capitol, Room 137, Salt Lake City, Utah 84114.

5.2 To facilitate the development of proposals, a bidders' conference will be held on August 28, 1980 at 1:00 p.m. in Room 370 Department of Social Services Building, located at 150 West North Temple, Salt Lake City, Utah. Youth Corrections staff will be available to answer questions concerning the program or requirements of the proposal. All prospective offerors are strongly encouraged to attend.

Mr. Wayne Holland of the Youth Corrections staff will conduct a short seminar on proposal writing for those interested.

6.0 REVIEW OF PROPOSALS AND AWARD OF CONTRACT

6.1 Proposals will be evaluated by advisory committees which will make recommendations to Youth Corrections concerning the award of the contract, but Youth Corrections retains the sole responsibility to make all final decisions.

6.2 Offerors will be required to participate in an oral presentation and discussion as part of the final selection process.

6.3 All proposals will be evaluated in accordance with the following general criteria:

- (a) Understanding of problem and method 50%
- (b) Qualifications of offeror and proposed staff 30%

(A provider currently holding a Youth Corrections contract or a bidder demonstrating prior experience in dealing with seriously delinquent youth will receive priority rating.

The offers will be graded down from 30% to 0% depending on prior experience.

Those people doing the reviewing will be instructed to give priority ranking to the existing contract holder, secondarily to someone with other prior experience, and thirdly to others.)

- (c) Cost (Demonstration of outside sources of income or resources to be matched to State funding will be given the full 20%. All other will be weighted at less than 20%) 20%

6.4 Youth Corrections reserves the right to reject any and all bids or withdraw this offer at any time. Award of contracts will not necessarily be made to the lowest offerors, but will be made in accordance with general criteria defined in sub-section 6.3. Youth Corrections reserves the right to negotiate changes in a proposal by any offeror, to divide a program among several offerors, or to request the consolidation of proposals by multiple offerors. Such action by Youth Corrections may result in an increase or decrease in the total funding level or number of slots for programs described in this request for proposals.

Youth Corrections further reserves the right to withhold a portion of the slots or decrease the funding level within any region in order to develop new programs to meet emerging needs not covered by this request.

6.5 Ex parte contacts of Youth Corrections workers by or on behalf of an offeror concerning a proposal after its submission, except for routine inquiries to the project officer as to the status of the review and award process, are prohibited. Ex parte contacts of selection advisory committee members are strictly prohibited. Violation of this sub-section constitutes grounds for disqualification of any proposal.

There exists a disproportionate number of minority youth in Youth Corrections institutions (mainly YDC and detention), while this same disproportion does not appear in alternative programs. Youth Corrections,

accordingly, will evaluate a bidders proposal also on ability to accept and successfully deal with minorities. A statement detailing past experience in this area, as well as an explanation of available minority staff is requested.

7.0 GENERAL PROPOSAL REQUIREMENTS

All proposals must be on consecutively numbered pages (not to exceed 15 pages in length, excluding budget and appendices) and contain at least the following information and materials:

7.1 A one-page abstract, which includes:

- (a) the title of the program, including program number (e.g. 8.1);
- (b) a brief description of the offeror and a synopsis of the program design and method;
- (c) the program capacity;
- (d) cost per day per youth;
- (e) total cost for the contract period;
- (f) staff/youth ratio; and
- (g) location of the program.

7.2 A detailed identification and description of the offeror.

7.3 A detailed description of the methodology to be utilized to supervise and treat youth referred to the program. (Increased weighting will be given programs which can demonstrate a capability for programmatic variations to respond to specific needs of individual youth, especially in terms of community linkages and movement through the program).

7.4 A description of proposed programmatic efforts to provide linkage with the youth's family and/or other support systems for reintegration into the community.

7.5 A description of the activities of the youth in the program on a typical day.

7.6 A statement of program goals and standards proposed by the offeror to evaluate the program (such as AWOL rates, subsequent referrals to juvenile court, release setting, educational/vocational programs, employment status, etc.).

- 7.7 A timetable for all major events in the operation of the program, including:
- (a) initial acquisition of equipment and supplies;
 - (b) hiring of staff;
 - (c) training of staff; and
 - (d) acceptance of first youth.
- 7.8 Procedures and criteria for screening youth for admission to the program, if any.
- 7.9 A statement specifying the offeror's experience in providing services for seriously delinquent youth.
- 7.10 A statement describing linkages to community resources which will be used by the program to supplement services and individualize treatment, as well as the availability of other funds to supplement the operation of the program.
- 7.11 A description and rationale for proposed staff organization and composition, including a statement of qualifications required for each staff position; where identity of staff members is known, a resume detailing the qualifications of each member should be included.
- 7.12 A description of procedures for staff selection, training, evaluation and monitoring.
- 7.13 A description of the record-keeping system and a statement of willingness to provide access to all program records by the program evaluator contracted by Youth Corrections.
- 7.14 Details concerning the use of volunteers in the program.
- 7.15 A statement of willingness to accept 80-100% (depending on program requirements) of the youth referred to the program by Youth Corrections. (All referrals must be screened through the Youth Corrections Diagnostic and Placement Team.) A statement should be included outlining criteria for admission so that inappropriate referrals by the Diagnostic Team can be minimized. A statement of willingness to document reasons for rejection of any referrals should also be included. This documentation will be utilized to determine acceptance rate so that programs will not be penalized for refusing inappropriate referrals.

- 7.16 A statement of willingness to accept the specific contractual specifications contained in Appendix A.
- 7.17 A statement of willingness to allow a full and complete audit of all records of the organization submitting the proposal, including records of such associated organizations and sub-contractors as may be designated by Youth Corrections in the contract.
- 7.18 A detailed budget for the program. In addition to any budget information submitted by the offeror, Form 515 shall be used (See Appendix B); personnel costs should clearly identify costs by position and percentage of time devoted to the program. Organizations operating other Youth Corrections contracted programs must include a budget showing how the administrative costs of such other programs will be affected.
- 7.19 A statement of ability to maintain financial records in accordance with the categories and line items contained in the Form 515, and a statement of willingness to submit a quarterly record of actual expenditures in accordance with the categories and line items contained in the Form 515.
- 7.20 A description of the policy and procedures for internal handling of behavioral problems (including re-admission or continuation in the program) and recording significant variation in a participating juvenile's behavior, such as:
- (a) runaway
 - (b) subsequent arrest, and
 - (c) critical incidents.
- 7.21 A description of the policies and procedures governing mail, visits to participating juveniles, visits by participating juveniles and telephone usage (for residential programs only).
- 7.22 A description of the type of youth, if any, which the offeror believes are not suitable for the program.
- 7.23 A description of the manner in which education will be provided. For information concerning the availability of State Education funds, contact Doug Bates (533-5891).

7.24 For residential programs involving more than four (4) youth in a single residence, a statement of willingness to form a citizen advisory group to meet on a quarterly basis to provide community input into program activities. (See Appendix C) Prior notice to and approval by Youth Corrections is required for the location of such programs.

7.25 Support letters from private and public agencies or individuals shall not be letters of recommendation; instead, they shall describe realistic plans for coordination and linkages with the offeror in the provision of services to the youth. Youth Corrections staff should not be asked to submit letters.

8.0 SPECIFIC PROGRAMS FOR WHICH PROPOSALS ARE REQUESTED - WEBER/DAVIS

8.1 Residential Supervision and Treatment

(a) Program Description: Residential treatment programs utilizing group home or mini-group home models with the following specifications:

If group home proposal:

Compliance with Youth Corrections Group Home Standards;

Willingness to accept 90% of Youth Corrections referrals;

Prefer urban setting with capacity to provide linkages with youth's family, as well as with community resources in education, vocational training, employment placement and other rehabilitative services;

Compliance with Social Services policy regarding placement of facility in the community (See Appendix C).

Not to exceed twelve in capacity;

Twenty-four hour supervision; and

Provision of back-up and training for group home parents.

If mini-group home proposal:

Compliance with Division of Family Services Foster Care Standards;

Prefer urban setting with capacity to provide linkages with youth's family, as well as with community resources in education, vocational training, employment placement and other rehabilitative services;

Provision of back-up and training for group home parents;

Provision of maintenance and personal allowance for participating juveniles;

Twenty-four hour supervision; and

Offeror must be licensed as a child-placing agency.

- (b) Proposal should demonstrate ability to deal with youth from area. Priority given to proposals that demonstrate most ability to link youth back to his own community.
- (c) Proposal should include what plans, if any, are to be utilized for reintegrating the youth with his family.
- (d) Total Funding: \$86,880
- (e) Total Slots: 16
- (f) Other Specific Requirements: Programs must be flexible enough to accommodate four females.
- (g) Proposal may be for all or any portion of the sixteen slots.

9.0 SPECIFIC PROGRAMS FOR WHICH PROPOSALS ARE REQUESTED - SALT LAKE/TOOELE COUNTIES

9.1 Residential Supervision and Treatment

- (a) Program Description: A highly-structured residential treatment program for older, seriously delinquent juveniles, utilizing a corrections orientation and employing the following specifications:

Compliance with Youth Corrections Group Home Standards;

Willingness to accept 100% of referrals from Youth Corrections;

Twenty-four hour awake supervision;

Vocational training and employment placement capacity emphasizing existing community resources.

- (b) Total Funding: \$89,052
- (c) Total Slots: 12
- (d) Proposal must be for all twelve slots.

9.2 Residential Supervision and Treatment

(a) Program Description: Residential treatment programs utilizing group home or mini-group home models with the following specifications:

If group home proposal:

Compliance with Youth Corrections Group Home Standards;

Prefer urban setting with capacity to provide linkages with youth's family as well as with community resources in education, vocational training, employment placement and other rehabilitative services;

Compliance with Social Services policy regarding placement of facility in the community. (See Appendix C)

Not to exceed twelve in capacity;

Twenty-four hour supervision; and

Provision of back-up and training for group home parents.

If mini-group home proposal:

Compliance with Division of Family Services Foster Care Standards;

Prefer urban setting with capacity to provide linkages with youth's family as well as with community resources in education, vocational training, employment placement and other rehabilitative services;

Provision of back-up and training for group home parents;

Provision of maintenance and personal allowance for participating juveniles;

Twenty-four hour supervision; and

Offeror must be licensed as a child-placing agency.

(b) Total Funding: \$228,060

(c) Total Slots: 42

(d) Other Specific Requirements:

1. Proposal may be for any portion of the 42 slots. Existing program may wish to bid on only their current number of slots, or to increase or decrease their program slots. New proposals may be for any combination of the slots consistent with program requirements, Youth Corrections needs, and provider ability.

Youth Corrections reserves the right to negotiate slot allocations with providers. There is no way to determine the number of slots various providers will bid. Accordingly, Youth Corrections will allocate slots consistent with State needs and program description.

2. Proposal should clearly demonstrate community linkages (ability to reintegrate youth back into own community), as well as plans, if any, for family involvement in program.

9.3 Residential Supervision and Treatment

- (a) Program Description: A highly-structured residential treatment program for seriously delinquent youth and/or substance abusers, incorporating the therapeutic community treatment model, and including the following specifications:

Incorporation of medical, psychological, psychiatric, educational, recreational and vocational services;

Utilization of a rotating staff design to provide twenty-four hour supervision;

Acceptance rate of 90%; and

Compliance with Youth Corrections Group Home Standards.

- (b) Total Funding: \$52,128
- (c) Total Slots: 9
- (d) Other Specific Requirements: Program must be flexible enough to accept females.
- (e) Youth Corrections funding may not be sufficient and outside supplementary funding may be required.
- (f) Proposal must be for all nine slots.

9.4 Residential Supervision and Treatment

- (a) Program Description: A highly-structured residential program incorporating a strong mental health treatment model and support services for seriously delinquent and/or emotionally disturbed youth, including psychiatric coverage and high professional/staff/resident ratio. An ability to provide intensive psychiatric programs for youth is required.

Program must demonstrate direct linkages to the local mental health authority, including financial support, and will utilize the local mental health center for staff supervision, case consultation, and facility back-up for residents. The program will incorporate the following:

Twenty-four hour supervision provided by a rotating staff design;

On-site education program;

Acceptance rate of 90%; and

Compliance with Youth Corrections Group Home Standards.

- (b) Total Funds: \$125,976
- (c) Total Slots: 12
- (d) Other Specific Requirements: Program must be flexible enough to accept females.
- (e) Youth Corrections funding may not be sufficient and outside supplementary funding may be required.
- (f) Proposal must be for all twelve slots.

9.5 Residential Supervision and Treatment

(a) Program Description: A residential program for older youth with emphasis on incorporation of skills required for successful emancipation and independent living. The program should incorporate a component providing for intensive supervision by community sponsors involving substantial contact with a juvenile placed in the program and monitoring of the juvenile's employment, education and/or treatment activities.

Sponsors shall provide support to youth in independent or semi-independent living situations and use individualized group therapy to assist youth with problems of daily living.

The program will also provide the following:

Utilization of existing community resources to provide youth with financial, recreational and vocational/educational experiences, as preparation for independent living;

Compliance with Youth Corrections Group Home Standards;

Twenty-four hour supervision; and

Capability of handling seriously delinquent and/or substance abusers.

- (b) Total Funds: \$49,685
- (c) Total Slots: 6 residential/
3 sponsor-tracker
- (d) Proposal must be for all six slots - three tracker.

9.6 Girls' Residential Supervision and Treatment

(a) Program Description: A residential program for seriously delinquent females, utilizing an advocate living situation and incorporating the following specifications:

Demonstration of capability for programmatic flexibility and variations in response to the differing needs of individual girls;

Demonstration of twenty-four hour eyes-on supervision and control capability;

Incorporation of educational, vocational and social/recreational components through support from and coordination with existing private and public resources;

Focus on teaching woman-specific survival skills; and

Acceptance rate of 100%

- (b) Those staff utilized for the advocate living situation may not also be foster parents, either in this or other programs.
- (c) Total Funding: \$69,414
- (d) Total Slots: 5
- (e) Proposals must be for all five slots.

9.7 Alternative Education and Day Treatment Program

- (a) Program Description: Program shall provide a comprehensive education and day treatment program, which includes the following programmatic components:

Provision of an alternative specialized educational program tailored to meet the needs of individual youth;

Provision of recreational experiences;

Linkages to provide educational diagnostic services and support counseling;

After-hours supervision and tracker advocacy; and

Linkages to skills training and employment assessment and placement.

- (b) Total Funding: \$52,334
(c) Total Slots: 15
(d) Proposals must be for all fifteen slots.

10.0 SPECIFIC PROGRAMS FOR WHICH PROPOSALS ARE REQUESTED - UTAH COUNTY

10.1 Residential Supervision and Treatment

- *(a) Program Description: A residential treatment program utilizing a group home model, which includes the following specifications:

Compliance with Youth Corrections Group Home Standards;

Prefer urban setting with capacity to provide linkages with youth's family, as well as with community resources in education, vocational training, employment placement and other rehabilitative services;

Capacity to provide family treatment, if any, should be included;

Compliance with Social Services policy regarding placement of facility in the community. (See Appendix C)

Not to exceed twelve in capacity;

Twenty-four hour supervision; and

Provision of back-up and training for group home parents.

- (b) Total Funding: \$65,160
(c) Total Slots: 12 (male)
(d) Proposal must be for all twelve slots.

*Note: Please refer to note at end of Program 10.2.

10.2 Residential Supervision and Treatment

- *(a) Program Description: A residential treatment program utilizing a mini-group home model, which includes the following specifications:

Compliance with Division of Family Services Foster Care Standards;

Prefer urban setting with capacity to provide linkages with youth's family, as well as with community resources in education, vocational training, employment placement and other rehabilitative services;

Provision of back-up and training for group home parents;

Provision of maintenance and personal allowance for participating juveniles;

Twenty-four hour supervision; and

Offeror must be licensed as a child-placing agency.

- (b) Total Funding: \$65,160
- (c) Total Slots: 12
- (d) Proposals must be for twelve slots.
- (e) Other Specific Requirements: Programs must be flexible enough to accommodate four females.

*Note: Proposals for proctor programs will be entertained with the understanding that independent living money will not be available, and any anticipated costs in this area should be included in the proposed budget.

Proctor program proposals should include the following specifications:

Program shall provide a living arrangement for each youth, with an adult or couple who shall be responsible for board and room and for supervision on week-nights and week-ends.

10.3 Residential Supervision and Treatment (Carousel Program)

- (a) Program Description: A residential treatment program designed to provide intensive twenty-four hour supervision and treatment to seriously delinquent youth who no longer require confinement at the YDC, who have a history of being unmanageable in other treatment facilities, and who may exhibit one or a complex combination of characteristics, including severe emotional disturbance, serious learning disabilities, mild retardation, and minimal neurological problems.

Program components shall include the following specifications:

On-site individualized counseling, recreational and educational services, and community linkages to provide ancillary support services;

Provisions for placement of residents outside of facility in a proctor setting for week-end visits and to allow for transition to independent or other living arrangements;

Provision of an advocate to prepare a vocational/educational employment and recreation plan with each youth, and to supervise the youth in the completion of the plan;

Provision of back-up and relief personnel for the live-in staff; and

Statement of willingness and demonstration of ability to obtain a child-placing agency license within three months.

Note: The facility will be provided by Youth Corrections. (It is located adjacent to the Timpanogos Mental Health Center.) A van is also included and some recreational equipment will be provided for use.

Proposal budget shall include cost of utilities for facility, and gasoline for van.

- (b) Total Funding: \$126,945
- (c) Total Slots: 6
- (d) Other Specific Requirements: Proposal shall include a breakdown of costs of the residential proctor-substitute living component so as to reflect costs of each program component independently and in combination.

11.0 SPECIFIC PROGRAMS FOR WHICH PROPOSALS ARE REQUESTED - RURAL SOUTHERN UTAH

*11.1 Residential Supervision and Treatment

- (a) Program Description: A residential treatment program utilizing a mini-group home model, which includes the following specifications:

Compliance with Division of Family Services Foster Care Standards;

Prefer urban setting with capacity to provide linkages with community resources in education, vocational training, employment placement, family treatment and other rehabilitative services;

Provision of back-up and training for group home parents;

Provision of maintenance and personal allowance for participating juveniles;

Twenty-four hour supervision; and

Offeror must be lincensed as a child-placing agency.

- (b) Total Funding: \$21,720
- (c) Total Slots: 4 (male)

*Note: Please refer to note at end of Program 11.2.

11.2 Residential Supervision and Treatment

- *(a) Program Description: A residential treatment program utilizing a mini-group home model, which includes the following specifications:

Compliance with Division of Family Services Foster Care Standards:

Prefer urban setting with capacity to provide linkages with community resources in education, vocational training, employment placement, family treatment, and other rehabilitative services;

Provision of back-up and training for group home parents;

Provision of maintenance and personal allowance for participating juveniles;

Twenty-four hour supervision; and

Offeror must be licensed as a child-placing agency.

- (b) Total Funding: \$16,290
- (c) Total Slots: 3 (female)

*Note: Proposals for proctor programs will be entertained with the understanding that independent living money will not be available, and any anticipated costs in this area should be included in the proposed budget.

Proctor program proposals should include the following specifications:

Program shall provide a living arrangement for each youth, with an adult or couple who shall be responsible for board and room and for supervision on week-nights and week-ends.

Provision of an advocate to prepare a vocational/educational employment and recreation plan with each youth, and to supervise the youth in the completion of the plan;

Provision of back-up and relief personnel for the live-in staff;

Statement of willingness and demonstration of ability to obtain a child-placing agency license within three months.

12.0 SPECIFIC PROGRAMS FOR WHICH PROPOSALS ARE REQUESTED - STATEWIDE

12.1 Family Treatment/Vocational and Educational Program

(a) Program Description: Intervention program providing conjoint family counseling services to delinquent youth and their families who are being released from the YDC. In conjunction with this, each youth shall be maintained in an individualized counseling and vocational/educational program incorporating existing community resources in the areas of job placement, vocational training and career development.

- (b) Location: Wasatch Front
- (c) Total Funding: \$10,000
- (d) Total Slots: To be negotiated

*Note: Offeror must be willing to accept referrals on a statewide basis; however, offeror is not responsible for client travel expenses.

APPENDIX B

DIVISION OF YOUTH CORRECTIONS

PROPOSAL RATING FORM

1. Non responsive
2. Below average; partially unresponsive
3. Acceptable; meets minimum requirements of RFP
4. Above average; exceeds minimum in some areas
5. Superior; has potential to produce high-quality product

Bidder: _____ Rater's Signature: _____

Program #: _____ Date: _____

Rating Criteria	1	2	3	4	5	Total	Comments (if any)
A. Quality of Proposal and Its Potential for Accomplishing Project Objectives (50 points - 10 points each)							
1. Proposal demonstrates a clear understanding of the problems and needs of identified population.							
2. Proposal clearly explains the methods to be utilized in providing stated service, including intake and reintegration process, programmatic flexibility, family involvement, and aftercare, if any.							
3. Proposal explains method to be utilized in providing accountability: contractually, financially and clinically.							
4. Proposal demonstrates ability to provide linkage to other community resources and the juvenile justice system.							
5. Proposal clearly explains use of volunteers and/or non-staff (family, peers, neighborhood groups, etc.) in providing service.							
B. Qualifications of Bidder and Proposed Staff Proposal Will Be Rated According to Following Staff Credentials (30 points - 5 points each)							
1. Education A. Level B. Field of Study							
2. Experience A. Administrative B. Program							
3. Staff/Kid Ratio - Explanation of:							
4. Staff Training - Inservice - Prior Staff Training							
5. Mix (appropriateness to program and treatment goals) A. Minorities B. Ex-offenders C. Education Levels D. Experience							

C. Cost (20 points - 5 points each)							
1. Is proposal offered at RFP cost or below?							
2. Is budget adequate for service described?							
3. Is administrative/support cost excessive? (10% or greater is usually considered excessive)							
4. Is stated cost-per-day-per-youth adequate to provide stated services?							

DIVISION OF YOUTH CORRECTIONS

ORAL RATING FORM

Bidder: _____ Rater's Signature: _____

Program #: _____ Date: _____

1. Non responsive
2. Below average; partially unresponsive
3. Acceptable; meets minimum requirements of RFP
4. Above average; exceeds minimum in some areas
5. Superior; has potential to produce high-quality product

Rating Criteria	1	2	3	4	5	Total	Comments (if any)
A. Quality of Proposal and Its Potential for Accomplishing Project Objectives (50 points - 10 points each)							
1. Proposal demonstrates a clear understanding of the problems and needs of identified population.							
2. Proposal clearly explains the methods to be utilized in providing stated service, including intake and reintegration process, programmatic flexibility, family involvement, and aftercare, if any.							
3. Proposal explains method to be utilized in providing accountability: contractually, financially and clinically.							
4. Proposal demonstrates ability to provide linkage to other community resources and the juvenile justice system.							
5. Proposal clearly explains use of volunteers and/or non-staff (family, peers, neighborhood groups, etc.) in providing service.							
B. Qualifications of Bidder and Proposed Staff (Proposals will be Rated According to Following Staff Credentials (30 points - 5 points each))							
1. Education A. Level B. Field of Study							
2. Experience A. Administrative B. Program							
3. Staff/Kid Ratio - Explanation of:							
4. Staff Training - Inservice - Prior Staff Training							
5. Mix (appropriateness to program and treatment goals) A. Minorities B. Ex-offenders C. Education Levels D. Experience							
6. Personnel formal policies and procedures (hiring, retention, evaluation, promotion)							

C. Cost (20 points - 5 points each)							
1. Is proposal offered at RFP cost or below?							
2. Is budget adequate for service described?							
3. Is administrative/support cost excessive? (10% or greater is usually considered excessive)							
4. Is stated cost-per-day-per-youth adequate to provide stated services?							

DIVISION OF YOUTH CORRECTIONS

ORAL RATING FORM

1. Nonresponsive
2. Below average; partially unresponsive
3. Acceptable; meets minimum requirements of RFP
4. Above average; exceeds minimum in some areas
5. Superior; has potential to produce high-quality product

Bidder: _____ Rater's Signature: _____

Program #: _____ Date: _____

Rating Criteria	Score (Check One)					Total	Comments (if any)
	1	2	3	4	5		
A. <u>Content - Program content and quality, as presented in Oral - 20 points</u>							
B. <u>Questions - 20 points each</u>							
1. What would you say is your main strength in providing this service?							
2. Why should you be given this contract in deference to other bidders?							
3. How do you expect to deal with the aggressive acting-out youngster who doesn't adapt to your program? (Appropriate response should include notion that youth be dealt with internally, including program modification, before removal is considered)							
4. What are the rights of children in your care? (Bidder should demonstrate some knowledge of children rights, such as written grievance procedure - Right of Non-Censorship-Privacy; Right of Non-Confinement; Right of Safe, Comfortable Environment; Right to Medical and Dental Care; Right of Confidentiality)							
5. What are your plans for the acceptance of and provision of services to minority youth.							

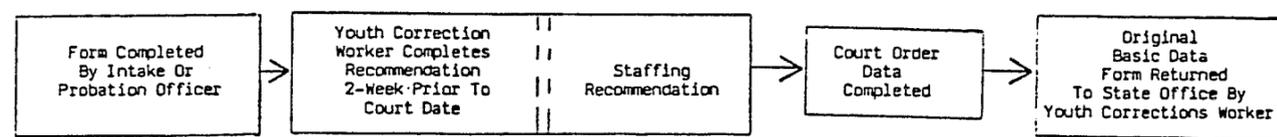
NOTE: Use the above questions and items as a work-sheet to obtain greater understanding of the bidder and the program. Rate the bidders formally on items found on the second sheet.

APPENDIX C

Name of Youth _____ / _____ / _____ Date _____ / _____ / _____ Legal # _____ Social # _____
 Last First Middle Mo. Day Year
 SS # _____ / _____ / _____ Birthday _____ / _____ / _____ Residence: State _____ County _____
 Mo. Day Year Zip Code _____
 Current Placement: _____ Entry Date _____ / _____ / _____
 Mo. Day Year

Total # of Referrals: _____ Acronyms of Current Referred Offense(s): a) _____
 b) _____
 c) _____
 Next Severe
 Acronym of Most Severe Admitted/Adjudicated Referral: _____ Age at First Arrest _____

FORM FLOW CHART



(Please Circle the Answer) SEX: M F GRADE COMPLETED: 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19
 ETHNICITY: WHITE/ANGLO BLACK HISPANIC NATIVE-AMERICAN ASIAN-AMERICAN OTHER
 RELIGION: CATHOLIC LDS PROTESTANT NATIVE-AMERICAN OTHER NONE
 MARITAL STATUS OF PARENTS: DIVORCED MARRIED SEPARATED WIDOWED COMMON-LAW NEVER-MARRIED OTHER
 PRIOR ABSCONDED/RUN AWAY/ESCAPED: YES NO
 ALCOHOL/DRUGS ASSOCIATED WITH CURRENT REFERRED OFFENSE: YES POSSIBLY NO UNKNOWN
 POSITIVE FAMILY SUPPORT: DEFINITELY-YES MAYBE-YES YES/NO MAYBE-NO DEFINITELY-NO
 IS THIS PERSON PRESENTLY IN CUSTODY OF YOUTH CORRECTIONS: YES NO
 PRIOR SECURE CONFINEMENT (COMMITMENT): YES NO PRIOR SECURE (OBSERVATION): YES NO
 PRIOR ALTERNATIVE RESIDENTIAL: YES NO PRIOR PAROLE: YES NO PRIOR PROBATION YES NO
 ARE PARENTS'/GUARDIANS' OR YOUTH RECEIVING PUBLIC ASSISTANCE (Examples, Food Stamps, Welfare) YES NO

GUIDELINE CALCULATIONS

- OFFENDER SCORE (circle)**
- Prior Type 3 Adjudications
 - More than 3.....0
 - 2 - 3.....1
 - 1.....2
 - None.....3
 - Prior Type 1 and 2 Adjudications
 - More than 2.....0
 - 2.....1
 - 1.....2
 - None.....3
 - Prior Adjudicated Referrals in Last Six Months
 - More than 4.....0
 - 2 - 4.....1
 - 1.....2
 - None.....3
 - Prior Probation Placements
 - More than 3.....0
 - 2 - 3.....1
 - 1.....2
 - None.....3
 - Age at Current Adjudication
 - Over 14.....0
 - 10 - 14.....1
 - 9 or Under.....2
 - SUM SCORE _____
- OFFENSE TYPE (Circle most serious)**
- Type 1 Life Endangering Felonies (e.g., murder, manslaughter, aggravated assault, aggravated robbery)
 - Type 2 Felonies Against Persons (e.g., automobile homicide, forcible sexual abuse, robbery, pot possession to sell)
 - Type 3 Property Offense Felon (e.g., burglary, shoplifting over \$250.00, destroying evidence)
 - Type 4 Misdemeanors Against Persons (e.g., negligent homicide, extortion, assault, narcotic possession for use)
 - Type 5 Misdemeanors Against Property and all other Criminal Offenses
 - Type 6 All Status Offenses

DISPOSITION GUIDELINES MATRIX

Offender Score	Offense Type				
	1	2	3	4	5
0-2	10*	9-11	6-9	3-6	2-5
3-5	9-11	6-9	3-6	2-5	1-3
6-8	6-9	3-6	3-6	1-3	1-3
9-11	3-6	2-5	1-3	1-3	1-3
12-14	2-5	1-3	1-3	1-3	1-3

SECURE CONFINEMENT
 ALTERNATIVE-RESIDENTIAL/OBSERVATION 9-11
 PROBATION
 ALL OTHER

* Final disposition will be determined at the discretion of the court.

CIRCLE THE NUMBERS OF CIRCUMSTANCES THAT MAY JUSTIFY DEPARTURE FROM GUIDELINES.

AGGRAVATING CIRCUMSTANCES

1. Weapon was used during commission of offense.
2. Offense involved serious bodily harm to victim. (Required at least overnight hospitalization and/or incurred medical costs of over \$1,000.)
3. Offense involved property loss or damage of over \$1,000.
4. Prior adjudicated felonies involving:
 - a. Weapons, and/or
 - b. Serious bodily harm to victim, and/or
 - c. Property loss greater than \$1,000.
5. History of absconsion from community supervision/placement and/or escape from secure confinement.

MITIGATING CIRCUMSTANCES

1. Offense was provoked by victim's actions.
2. Offender knew the victim.
3. Offender was a passive accomplice in offense.
4. Record of success in prior community placements and/or under supervision.
5. Offender had no personal contact with victim (nor reasonable expectation of same) during commission of offense.

APPENDIX D

Guideline Recommendation (Circle) Secure Alternative-Res./Observation Probation All Other

Community Demand _____

Probation or Intake Officer Recommendation (Circle) Secure-Confinement Observation
Alternative-Res. Probation All Other

Name (Print) _____ Rationale: _____

Youth Correction Worker Recommendation (Circle) Secure-Confinement Observation
Alternative-Res. Probation All Other

Date _____

Name (Print) _____ Rationale: _____

Staffing Recommendation (Circle) Secure-Confinement Observation
Alternative-Res. Probation All Other

Rationale: _____

Court Order (Circle) Secure-Confinement Observation
Alternative-Residential Probation All Other

Date _____

Judge _____ Other Information (e.g., restitution, duration, comments)

Abbreviation of Adjudicated Most Severe Current Offense: _____

If custody is given to Youth Corrections, what is entry date? _____
Month / Day / Year

YOUTH CORRECTIONS QUESTIONNAIRE

Name: _____ Date: _____
Title: _____ District: _____
Name/Title of Person to Whom you Report: _____
How Long You Have Held this Position: _____

We have distributed this questionnaire to all Youth Corrections workers and to CYF and other workers with corrections responsibilities.

Note: This questionnaire is for the use of John Short & Associates, Inc., only. Any information you give will be held in strictest confidence. Please return this completed form to JS&A directly in the attached envelope no later than March 7, 1980. Use extra pages as needed. Please answer all questions. If you have any questions please contact Stephen C. Pace at (801) 532-5358.

I. Purpose/Duties

A. In your own words, describe the purpose of your present job. What do you do?

B. What are the 3-5 most important things for which you are responsible?

C. Are your objectives reduced to writing and reviewed with your supervisor?

E. What incentives do you have to accomplish those objectives? Please describe.

II. Information/Communication

A. Internal Contacts. Which persons in other positions within Youth Corrections do you work with regularly? Please list title of person, purpose of contact, and frequency (per week) of contact.

Title	Purpose	Frequency
1.		
2.		
3.		
4.		

B. External Contacts. Which persons outside the Youth Corrections organization (e.g., CYF court intake workers, court probation workers, youth, families, private vendors) do you work with regularly. Please list title of person, purpose of contact, and frequency (per week) of contact.

Title	Purpose	Frequency
1.		
2.		
3.		
4.		

III. Personal Effectiveness

- A. How do you know if you're doing a good job?
- B. What would somebody else have to do to tell if you are doing a good job? Look at a formal report or set of numbers (if so, please identify) or talk to someone in corrections or elsewhere (if so, please identify.)
- C. What kinds of decisions do you make on your own, without consulting your superior? (Please give examples.)

- D. What decisions do you have to take to others for approval? Please give examples of decisions and source of final approval.

- E. Could you be more effective if you had:
1. Additional responsibilities? Please explain.
 2. Fewer responsibilities? Please explain.

F. Do you need additional personal contacts or information to do your job effectively? If so, please list.

G. What formal training or personal development programs would increase your effectiveness?

H. Are there any major barriers or constraints to your personal effectiveness that could be readily removed?

IV. Youth Corrections Effectiveness

A. Like people, organizations may be seen as having strengths and weakness. In your opinion, what does Youth Corrections do best?

B. What does Youth Corrections do poorly?

C. What are the areas where Youth Corrections has the greatest opportunity for improvement?

D. How well does Youth Corrections plan? Can you relate the annual plans to your specific job accountabilities? What do the plans mean in the context of your position? Please explain.

E. Problem solving may be done by individuals or groups. Does Youth Corrections solve problems? Please give examples of significant problems that have been solved in the past year or so.

F. Can you give examples of Youth Corrections problems that are generally thought to be significant, that probably have answers, but that seem to go unsolved? Please comment on why.

G. What are the most important priority problems Youth Corrections should solve?

H. Youth Corrections has a variety of relationships with private vendors to provide such services as group homes care, residential treatment, "alternative" care, etc. Are you satisfied with these relationships? What improvements do you suggest?

V. Suggestions

A. What, if any recommendations would you make for reorganizing the functional areas and structure associated with your immediate supervisor?

B. What reorganizations do you suggest be considered for any other part of Youth Corrections, DFS, the DFS/Juvenile Court relationship, etc.?

C. What other suggestions, of any type, do you have for improving Youth Corrections effectiveness?

APPENDIX E

Date

Interviewer

STAFF QUESTIONNAIRE

1. Identification

Name _____ Home _____
Full-time _____ Part-time _____ Title _____
Time in your present Job _____ Total time with program _____
Education: Degree _____ Field _____ Year _____
License _____

2. What is the overall purpose of this program and how is it implemented?

3. What is your role in this process?

4. Since you have been here, have you received any training from the program?
Describe kind, duration and place.

5. Since you have been here, have you received any upgrading of position and salary reflective of your experience and contribution to the program?

6. What kind of supervision do you receive from the program? Describe the nature, who provides it, frequency, etc. Is it sufficient? Helpful?

7. What is the nature of your decision-making powers with respect to your clients? (Probe for degree of autonomy, etc.)

8. In general, are lines of authority, responsibility, and decision-making clear and sensible? How much input do you have into house policies? Enough?

9. Do you feel you get the backing and support of other staff in your dealing with kids? From administration?

10. Are you kept informed of what is going on with kids, within the house, by other staff? How effective is communication among staff and with administration?

11. How would you describe your relationship with the kids?

12. How do the kids get along with each other (afraid of each other, trust, support, etc.)

13. Are you assigned particular kids as clients? Yes No

If yes, how many?

14. Are any short-term objectives defined for each kid? Yes No

If yes, are they written down?

How are they derived?

Please give some examples.

15. Are long-term objective defined for each kid? Yes No

If yes, how are they derived?

Please give some examples.

16. Duties:

What % of your time is spent in administrative & paperwork _____
 What % of your time is spent in contact with kids in groups _____
 What % of your time is spent in contact with individual kids _____
 What % of your time is spent in other activities _____ Describe.

How many times in the past month have you had substantial personal contact with kids' families _____

How many of these have been Phone Calls _____ Personal Visits _____
 Visits to Group Home _____

What is the purpose of these meetings? _____

17. Do you ever meet with representatives of any of the following and if so how often and for what purpose?

	How often in the last month	Purpose
Public School	_____	_____
Vocational School	_____	_____
Employer of Youth	_____	_____
Potential Employers of Youth	_____	_____
Mental Health Workers	_____	_____

Specify _____

Other groups or individuals

Do you consider this a typical month? Yes No

18. Are there any restrictions (times, clearance, visit frequency, staff must be present), or rules on receiving visits from families here at the residence?

Yes No Don't Know

If yes, please specify.

19. Are there any restrictions or rules on kids visiting their family at home?

Yes No Don't Know

If yes, please specify.

20. Are there any rules or restrictions on receiving mail or on sending out mail?

Yes No Don't Know

If yes, please specify.

21. Are there any rules or restrictions on using the residence phone?

Yes No Don't Know

If yes, please specify.

22. Are there any restrictions or rules on visiting with friends?

Yes No Don't Know

If yes, specify.

23. Are there any restrictions or rules on who can be seen in or out of the program?

Yes No Don't Know

If yes, specify?

24. Are there any rules or regulations on how often kids can leave the group home?

Yes No Don't Know

If yes, specify?

25. Are there any rules or regulations on what kids can do outside of the group home (other than illegal activities)?

Yes No

If yes, specify?

26. To what extent do the kids participate in making the rules?

Very Much Somewhat Very Little Never

27. If the kids participate, how do they participate? _____

28. Do you have any follow-up with the kids after they leave the program?

Yes No

If yes, how? (Describe any follow-up activities you have undertaken in

the past month.)

29. What types of kids does this program serve the best?

30. What types of kids don't fit into this type of program?

31. What kinds of treatment or services are provided by this program?

32. Assume a natural home or foster home and day treatment resources are available - which three kids in the program will, in your judgement, be ready the soonest to be discharged? (List in order in which they should be released.)

33. Which of the kids now in the program (if any) do you think should have never entered this program in the sense that other less institutional forms of care (e.g. foster care, day treatment, etc.) could have been tried first or tried further?

Why?

34. Which of the kids now in the program (if any) do you think should have never entered this program in the sense that they need more security or special forms of care that this program cannot provide.

Name	Care needed (your opinion)
_____	_____
_____	_____
_____	_____

35. In general, how helpful is the program for the kids?

- (1) Very (2) Somewhat (3) Helpful for some but not others
(4) Not at all

36. What changes could be made to improve the program?

37. What problems, if any, exist in the community, that interfere with rehabilitating the kids?

38. What could youth corrections do, if anything, to aid you with the kids?

39. What other support services, if any, could you use?

40. Is there anything about the program which we have not discussed or any comments you would like to make?

Interviewer _____
 Group Home _____ [7 2]
 Date _____
 DFS # _____ [3] [11]

CONFIDENTIAL YOUTH QUESTIONNAIRE

1. Identification

Name _____ Date of Birth _____ [12 17]
 Parents or guardian names and addresses: _____

 Sex 1=Male 2=Female _____ Race _____ [18]
 DFS Worker _____ Probation Officer _____ [19] [20]
 (1) Yes (2) No (3) Don't Have (1) Have P.O.; Know Name
 (2) No Probation
 (3) Have P.O. Don't Know Name
 (4) Don't Know If On Probation

2. Who do you usually live with? (circle one)

(A) Adult head of the house

- (1) mother and father
- (2) mother and stepfather
- (3) father and stepmother
- (4) mother or stepmother only
- (5) father or stepfather only
- (6) other adult relatives
- (7) foster parents
- (8) other adults
- (9) none

[]
21

(B) Kids (# 0-9)

- (1) number of older brothers _____
- (2) number of younger brothers _____
- (3) number of older sisters _____
- (4) number of younger sisters _____
- (5) number of other related boys _____
- (6) number of other related girls _____
- (7) number of other boys _____
- (8) number of other girls _____

[] 22
 []
 []
 []
 []
 []
 []
 [] 24

3. How long have you been in this group home? (weeks) _____ []
 30 31

4. Have you been in this group home before? []
 (1) Yes (2) No (3) Don't Know 32

If yes, when?

5. Had you heard anything about this group home before you came here?

If yes, what did you hear?

7. What was your first day here like?

8. What is it like now?

9. Do you have a religion? What is it? (Circle one)

- (1) LDS
- (2) Protestant
- (3) Catholic
- (4) Jewish
- (5) Other (specify)
- (6) None

[]
33

10. Have any of the kids in your family ever had trouble with the law?

- (1) Yes (2) No (3) Don't Know (4) N/A

[]
34

11. How about parents

- (1) Yes (2) No (3) Don't Know (4) N/A

[]
35

12. Do you have any medical problems

- (1) Yes (2) No (3) Don't Know

[]
36

If yes, please specify:

13. Are you taking behavior medication?

- (1) Yes (2) No (3) Don't Know

[]
37

What?

14. What are you up here for now? (Interviewer code category and record specific charge) For each 1 = Yes, 2 = No

- (1) drugs
- (2) cars (stolen car, use without authority, etc.)
- (3) property (burglary, B&E, shop lifting, etc.)
- (4) property and person (robbery, purse snatching, etc.)
- (5) person (assault, etc.)
- (6) juvenile offenses (stubborn child, sexual behavior, runaway)
- (7) public misbehavior (drinking, disorderly conduct, loitering)
- (8) parole violation
- (9) abandoned (no home)
- (10) abused
- (11) can't get along with parents
- (12) others (specify)

[]
38
[]
39
[]
40
[]
41
[]
42
[]
43
[]
44
[]
45
[]
46
[]
47
[]
48
[]
49

[NOTE TO INTERVIEWER: Runs from DFS do not count.]

15. Have you been anywhere else in DFS before (YDC, Foster care, etc.)?

(for each: # of times (0-9))

- Shelter Care _____
- Foster Homes _____
- Group Homes _____
- KATY Home _____
- YDC Observations _____
- YDC Commitment _____

[] 50
[] 51
[] 52
[] 53
[] 54
[] 55

16. Have you ever run away from your parents or guardian before?

How many times? _____ (#0-9)

[]
56

17. Have you run away from this program?

How many times? _____ (#0-9)

[]
57

18. Same for each prior placement. (total # 0-9)

[]
58

19. Do you think about running away from this program at times?

How often do you think about it?

Seldom or never (1) Sometimes (2) Often (3) Very Often (4)

[]
59

20. Have staff spent any time either working with or talking to your family?

(1) Yes (2) No (3) Don't Know

[]
60

If yes, do you know what's been going on and can you describe what you know about it.

21. How many times in the past month have family members visited you here? _____ (# 0-9)

[]
61

22. How many times in the past month have you been home? _____ (#0-9)

[]
62

23. Do any of your friends come here and spend some time?

No. of Times
Per Week

_____ (#0-9)

[]
63

24. Do you talk on the group home phone with any of them?

_____ (#0-9)

[]
64

25. Do you talk on any other phones with them?

_____ (#0-9)

[]
65

26. Are there any restrictions or rules (times, clearance, frequency, or supervision) on:

- Visiting with friends
- Who can be seen in or out of program
- Receiving visits from your family
- Receiving or sending out mail
- Using residents phone
- Leaving the group home
- What can you do outside the program

27. To what extent do you participate in making rules?

- (1) Very much (2) Somewhat (3) Very Little (4) Never

[]
66

(If kid participates) how do you participate?

[INTERVIEWERS SUBJECTIVE ASSESSMENT: how well does kid understand rules?]

- (1) None (2) Poor (3) Moderate (4) Good

[]
67

28. I'm going to ask you about some activities in the community.

Do you:

	<u>Independently</u>		<u>Supervised</u>		<u>Would You</u>		
	<u>Yes(1)</u>	<u>No(2)</u>	<u>Yes(1)</u>	<u>No(2)</u>	<u>Like To Do</u>	<u>Or Do More</u>	
					<u>Yes(1)</u>	<u>No(2)</u>	
Do paid chores or have paid jobs in the community	_____	_____	_____	_____	_____	_____	[_____] 68 70
Use community parks, playgrounds, recreational centers	_____	_____	_____	_____	_____	_____	[_____] 71 73
Use community libraries (other than those of schools they attend)	_____	_____	_____	_____	_____	_____	[_____] 74 76
Attend church or Sunday school in community	_____	_____	_____	_____	_____	_____	[_____] 77 79
Participate in sports	_____	_____	_____	_____	_____	_____	[_____] 80 82
Attend community or school sport events, dances, etc.	_____	_____	_____	_____	_____	_____	[_____] 83 85
Go to movies or other entertainment in community	_____	_____	_____	_____	_____	_____	[_____] 86 88
Shop in neighborhood stores	_____	_____	_____	_____	_____	_____	[_____] 89 91
Visit friends outside school or group home	_____	_____	_____	_____	_____	_____	[_____] 92 94
29. How many times in the past month have you talked to a DFS worker on phone _____ (#0-9)							[] 95
Visited with a DFS worker in person outside of the home _____ (#0-9)							[] 96
Visited with a DFS worker here at the Group Home _____ (#0-9)							[] 97

30. How many times in the past month have you
 talked to your probation officer on the phone? _____ (#0-9) [] 98
 Visited with your probation officer in person _____ (#0-9) [] 99
 Visited with your probation officer here at the Group Home _____ (#0-9) [] 100
 (If no probation officer, enter 0's)

31. Linkage

Education: Set contains strategies which seek to enhance formal academic or related training (enter hours per week).

Provided by or at the Group Home (1) Yes (2) No
 Provided by Community sources (1) Yes (2) No

Tutorial Education

Strategy revolves around a one to one relationship between teacher and student. [] 101

Group Education

Strategy emphasizes small group study guided by teacher. May include some tutorial follow up. [] 103

Traditional Classroom Education.

Strategy is similar to the lecture method employed with large classes. Are you a full-time student in regular school? [] 105

Combination Group/Tutorial. [] 107

Remedial or MR School. [] 109

Remedial or MR classes (regular public school) [] 111

32. Vocational Training: Formal vocational instruction to provide a resident with skills which will make him more employable in the community.

Provided by or at the group home (1) Yes (2) No
 Provided by Community sources (1) Yes (2) No

Vocational Training

Formal vocational instruction to provide a resident with skills which will help make him more employable in the community. Specify skills being learned. [] 113

33. Counseling (Therapeutics): Counseling focused on self understanding and interpersonal relations as contrasted to school or employment counseling.

Outside Counseling Only (1)Yes (2)No
Individual Counseling (Formal

Formal counseling which takes place in a one to one relationship. [] 115

Group Counseling

Counseling techniques which employ group resolution of interpersonal problems. [] 116

1. Rap Sessions
2. Guided Group Interaction (Encounter Groups)
3. Other? Describe

34. Structured Self-Actualization/Physical Fitness Program: Structured physical fitness program devised to enhance resident's self image.

Here at Group Home Somewhere Else Structured Recreation
(1) Yes (2) No (1)Yes (2)No Formal recreation which is regarded by staff and kids as a major activity meeting specified goals.

[_ _]
117

35. Drug or Alcohol Therapy (Specialized): Specific strategies which are directed toward handling drug problems.

Here at Group Home Somewhere Else
(1) Yes (2) No (1) Yes (2) No

Intensive Drug or Alcohol Therapy

Long-term strategies which require considerable commitment of the part of the resident.

[_ _]
119

Drug or Alcohol Related Counseling

Short term strategies which attempt to create an understanding of drug related issues.

[_ _]
121

36. If you want help finding a job, is there some person you'd ask?

Nobody (3) Name _____ Age (1)Adult (2) Kid Relationship _____

[_]
123

36.(a) Has _____ helped you before? In what way? (1)Yes (2)No (4)N/A

[_]
124

37. If you were having trouble with another kid, is there some person you'd ask?

Nobody (3) Name _____ Age (1) Adult (2) Kid Relationship _____

[_]
125

37.(a) Has _____ helped you before? In what way? (1) Yes (2) No (4) N/A

[_]
126

38. Help convincing teacher to do something, is there some person you'd ask?

Nobody (3) Name _____ Age (1)Adult (2)Kid Relationship _____

[_]
127

38.(a) Has _____ helped you before? In what way? (1)Yes (2)No

[_]
128

39. Problem with somebody on the staff here, is there some person you'd ask?

Nobody (3) Name _____ Age (1)Adult (2)Kid Relationship _____

[_]
129

39(a) Has _____ helped you before? In what way? (1)Yes (2) No (4) N/A

[_]
130

40. In general, how helpful would you say this program is for you?

- 1) very helpful
- 2) somewhat helpful
- 3) not helpful at all

[_]
131

41. Has the program provided you with any useful, legitimate skills which will help you in the community?

- 1) a lot
- 2) some
- 3) very little
- 4) none

[_]
132

YOUTH SOCIAL CLIMATE

42. What do you expect to get out of this program?

43. Have there been any ways in which you feel that the program has hurt you?

44. What three things do you like best about the program?

- 1) _____
- 2) _____
- 3) _____

45. What three things do you dislike the most about the program?

- 1) _____
- 2) _____
- 3) _____

46. Which group homes in Utah are the best? Why?

47. Which are the worst? Why?

48. If you could put together your program for kids, what would it be like?

(1) The staff members try to keep you informed about what's happening with the general program here at _____?

Strongly Agree	Agree	Disagree	Strongly Disagree	Unsure, Don't Know	
1	2	3	4	5	[] 133

(2) The staff is more concerned with keeping kids under control than with helping them with their problems.

1	2	3	4	5	[] 134
---	---	---	---	---	------------

(3) If a kid messes up, the staff will punish him/her.

1	2	3	4	5	[] 135
---	---	---	---	---	------------

(4) The staff makes changes without consulting the kids?

1	2	3	4	5	[] 136
---	---	---	---	---	------------

(5) Other kids here will reward a kid for good behavior?

1	2	3	4	5	[] 137
---	---	---	---	---	------------

(6) If the kids really want to, they can share in decisions about how the general program is run.

1	2	3	4	5	[] 138
---	---	---	---	---	------------

(7) The staff will reward a kid for good behavior.

1	2	3	4	5	[] 139
---	---	---	---	---	------------

(8) People in the program are pretty much split into two different groups, with staff in one, and kids in the other.

1	2	3	4	5	[] 140
---	---	---	---	---	------------

(9) The kids here have their own set of rules on how to behave that are different from those of the staff.

1	2	3	4	5	[] 141
---	---	---	---	---	------------

(10) If a kid screws up, other kids here will punish him.

1	2	3	4	5	[] 142
---	---	---	---	---	------------

(11) Other kids usually try to help a new kid get used to the general program.

<u>Strongly Agree</u>	<u>Agree</u>	<u>Disagree</u>	<u>Strongly Disagree</u>	<u>Unsure, Don't Know</u>	
1	2	3	4	5	[]

(12) If a kid does well here, the staff will tell him so personally.

1	2	3	4	5	[]
---	---	---	---	---	-----

(13) Kids in the general program usually tell someone when they think he's done something wrong.

1	2	3	4	5	[]
---	---	---	---	---	-----

(14) Kids in the outside community look down on kids in this program.

1	2	3	4	5	[]
---	---	---	---	---	-----

(15) There are too many kids here who push other kids around.

1	2	3	4	5	[]
---	---	---	---	---	-----

(16) Most kids here are just interested in doing their time.

1	2	3	4	5	[]
---	---	---	---	---	-----

(17) If a kid does well here, the other kids will tell him so personally.

1	2	3	4	5	[]
---	---	---	---	---	-----

(18) Most of the rules here are fair.

1	2	3	4	5	[]
---	---	---	---	---	-----

(19) The kids in this general program spend a lot of time outside in the larger community.

1	2	3	4	5	[]
---	---	---	---	---	-----

(20) Staff here help the kids get jobs outside, get into youth groups, into new school program and things like that.

1	2	3	4	5	[]
---	---	---	---	---	-----

(21) People in the outside community don't help kids in this general program get jobs outside, get into youth groups, into new school programs, and things like that.

1	2	3	4	5	[]
---	---	---	---	---	-----

(22) If a kid really wants to help plan his future out in the larger community he can.

<u>Strongly Agree</u>	<u>Agree</u>	<u>Disagree</u>	<u>Strongly Disagree</u>	<u>Unsure, Don't Know</u>	
1	2	3	4	5	[]

(23) If a kid in this general program screws up out in the community, people out there will punish him/her.

1	2	3	4	5	[]
---	---	---	---	---	-----

(24) If a kid in this general program does well out in the community, people out there will tell him so personally.

1	2	3	4	5	[]
---	---	---	---	---	-----

(25) When kids in this general program go out into the larger community it is hard to tell them from other kids.

1	2	3	4	5	[]
---	---	---	---	---	-----

(26) Kids in this general program have a different set of rules from those of the people in the larger community who supervise the kids.

1	2	3	4	5	[]
---	---	---	---	---	-----

(27) People in the larger community are more concerned with keeping kids from this general program under control than with helping them with their problems.

1	2	3	4	5	[]
---	---	---	---	---	-----

(28) People in the outside community generally hassle kids in this program.

1	2	3	4	5	[]
---	---	---	---	---	-----

(29) Real friends are hard to find in this general program.

1	2	3	4	5	[]
---	---	---	---	---	-----

(30) The staff deals fairly and squarely with everyone.

1	2	3	4	5	[]
---	---	---	---	---	-----

(31) Most kids here will beat you up to get what they want.

1	2	3	4	5	[]
---	---	---	---	---	-----

(32) I feel very much that I fit in here.

<u>Strongly</u> <u>Agree</u>	<u>Agree</u>	<u>Disagree</u>	<u>Strongly</u> <u>Disagree</u>	<u>Unsure,</u> <u>Don't Know</u>	
1	2	3	4	5	

[]
164

(33) When I leave here I want to live with my parents.

1	2	3	4	5	
---	---	---	---	---	--

[]
165

(34) I would like to live in a foster home when I leave here.

1	2	3	4	5	
---	---	---	---	---	--

[]
166

(35) I would like to live with roommates my age when I leave this home.

1	2	3	4	5	
---	---	---	---	---	--

[]
167

(36) I hope to live by myself when I leave here.

1	2	3	4	5	
---	---	---	---	---	--

[]
168

STAFF SOCIAL CLIMATE QUESTIONS

Name _____

Home _____

Status (1) Full-time (2) Part-Time

Role (1) House Parent (2) Counselor
(unlicensed) (3) licensed social
worker (4) licensed psychologist
(5) Administration

Months at home _____

[]
[]
[]
[]

[]
[]
[]

(1) The staff members try to keep you informed about what's happening with the general program here at _____?

<u>Strongly</u> <u>Agree</u>	<u>Agree</u>	<u>Disagree</u>	<u>Strongly</u> <u>Disagree</u>	<u>Unsure,</u> <u>Don't Know</u>	
1	2	3	4	5	

[]
28

(2) The staff is more concerned with keeping kids under control than with helping them with their problems.

1	2	3	4	5	
---	---	---	---	---	--

[]
29

(3) If a kid messes up, the staff will punish him/her.

1	2	3	4	5	
---	---	---	---	---	--

[]
30

(4) The staff makes changes without consulting the kids?

1	2	3	4	5	
---	---	---	---	---	--

[]
31

(5) Other kids here will reward a kid for good behavior?

1	2	3	4	5	
---	---	---	---	---	--

[]
32

(6) If the kids really want to, they can share in decisions about how the general program is run.

1	2	3	4	5	
---	---	---	---	---	--

[]
33

(7) The staff will reward a kid for good behavior.

<u>Strongly Agree</u>	<u>Agree</u>	<u>Disagree</u>	<u>Strongly Disagree</u>	<u>Unsure, Don't Know</u>	
1	2	3	4	5	[]
					34

(8) People in the program are pretty much split into two different groups, with staff in one, and kids in the other.

1	2	3	4	5	[]
					35

(9) The kids here have their own set of rules on how to behave that are different from those of the staff.

1	2	3	4	5	[]
					36

(10) If a kid screws up, other kids here will punish him.

1	2	3	4	5	[]
					37

(11) Other kids usually try to help a new kid get used to the general program.

1	2	3	4	5	[]
					38

(12) If a kid does well here, the staff will tell him so personally.

1	2	3	4	5	[]
					39

(13) Kids in the general program usually tell someone when they think he's done something wrong.

1	2	3	4	5	[]
					40

(14) Kids in the outside community look down on kids in this program.

<u>Strongly Agree</u>	<u>Agree</u>	<u>Disagree</u>	<u>Strongly Disagree</u>	<u>Unsure, Don't Know</u>	
1	2	3	4	5	[]
					41

(15) There are too many kids here who push other kids around.

1	2	3	4	5	[]
					42

(16) Most kids here are just interested in doing their time.

1	2	3	4	5	[]
					43

(17) If a kid does well here, the other kids will tell him so personally.

1	2	3	4	5	[]
					44

(18) Most of the rules here are fair.

1	2	3	4	5	[]
					45

(19) The kids in this general program spend a lot of time outside in the larger community.

1	2	3	4	5	[]
					46

(20) Staff here help the kids get jobs outside, get into youth groups, into new school program and things like that.

1	2	3	4	5	[]
					47

(21) People in the outside community don't help kids in this general program get jobs outside, get into youth groups, into new school programs, and things like that.

<u>Strongly</u> <u>Agree</u>	<u>Agree</u>	<u>Disagree</u>	<u>Strongly</u> <u>Disagree</u>	<u>Unsure,</u> <u>Don't Know</u>	[]
1	2	3	4	5	48

(22) If a kid really wants to help plan his future out in the larger community he can.

1	2	3	4	5	[]
					49

(23) If a kid in this general program screws up out in the community, people out there will punish him/her.

1	2	3	4	5	[]
					50

(24) If a kid in this general program does well out in the community, people out there will tell him so personally.

1	2	3	4	5	[]
					51

(25) When kids in this general program go out into the larger community it is hard to tell them from other kids.

1	2	3	4	5	[]
					52

(26) Kids in this general program have a different set of rules from those of the people in the larger community who supervise the kids.

1	2	3	4	5	[]
					53

END